



## Fiscal Year 2002 Program

- Application Kit for:
  - ✓ Implementation Grants
  - ✓ Enhancement Grants
- Registration Information for:
  - ✓ Planning Initiative
  - ✓ Applicant Workshops
    - November 13, 2001
    - November 16, 2001
    - November 19, 2001

**DEADLINE:**  
*January 4, 2002*

**U.S. Department of Justice**  
**Office of Justice Programs**  
810 Seventh Street NW.  
Washington, DC 20531

**John Ashcroft**  
*Attorney General*

**Deborah J. Daniels**  
*Assistant Attorney General*

**Marilyn McCoy Roberts**  
*Director, Drug Courts Program Office*

---

**Office of Justice Programs**  
**World Wide Web Home Page**  
[www.ojp.usdoj.gov](http://www.ojp.usdoj.gov)

---

**Drug Courts Program Office**  
**World Wide Web Home Page**  
[www.ojp.usdoj.gov/dcpo](http://www.ojp.usdoj.gov/dcpo)

---

For grant and funding information, contact  
**U.S. Department of Justice Response Center**  
1-800-421-6770

---

---

# **Fiscal Year 2002 Program**

- Application Kit
  - Applicant Workshop
- Registration Information

SL000495

*For a copy of this publication, please visit [www.ojp.usdoj.gov/dcpo](http://www.ojp.usdoj.gov/dcpo).*

---

---

The Drug Courts Program Office,  
Office of Justice Programs, announces the following:

## **APPLICATION WORKSHOPS**

To explain the requirements for a grant application. See appendix A for further information and to register to attend.

---

November 13, Washington, DC  
November 16, Albuquerque, NM  
November 19, San Francisco, CA

---

NOTE: Federal grant funds cannot be used to attend these workshops.

---

## **ADULT, JUVENILE, AND FAMILY DRUG COURT PLANNING INITIATIVE**

Again this year, communities will **not** need to submit a grant application, provide a 25-percent local match, or compete for funding to attend training on planning an adult, juvenile, or family drug court. Last year the Drug Courts Program Office expanded its training programs by nearly 300 percent to train more than 200 communities to plan a drug court. This year training again will be available to 200 communities to assist in planning an adult, juvenile, or family drug court. For further information, see page 18.

---

## **TRIBAL DRUG COURT INITIATIVE**

Again this year, there is a separate application kit to support the planning, implementation, and enhancement of tribal drug courts. You may request an application by calling 1-800-421-6770 or by visiting our Web site at [www.ojp.usdoj.gov/dcpo](http://www.ojp.usdoj.gov/dcpo).

---

---

# TABLE OF CONTENTS

<b>Application Checklist .....</b>	<b>1</b>
<b>Introduction .....</b>	<b>3</b>
The Drug Court Movement .....	5
Important Partnership With Treatment .....	6
Key Components of Drug Courts .....	7
Impact of the Drug Court Movement .....	7
<b>FY 2002 Program .....</b>	<b>11</b>
Background .....	13
FY 2002 Drug Court Grant Program .....	14
FY 2002 Drug Court Training Program .....	18
<b>Application Process .....</b>	<b>21</b>
Overview of the Grants Management System .....	23
1. Application for Federal Assistance (SF 424) .....	25
2. Program Narrative Attachments .....	29
A. Applicant Information Page .....	30
B. Abstract .....	32
C. Program Design .....	33
1. Adult Drug Court Implementation Grants .....	34
2. Juvenile Drug Court Implementation Grants .....	41
3. Single Jurisdiction Drug Court Enhancement Grants .....	50
4. Statewide Drug Court Enhancement Grants .....	53
D. Time Task Plan .....	55
E. Applicant Certifications .....	57
F. Consent Form .....	61
3. Budget Detail Worksheet and Budget Narrative Attachments .....	65
A. Sample Drug Court Budget .....	68
B. Unallowable Costs .....	72
C. Budget Detail Worksheet .....	73

4. Assurances and Certifications .....	79
A. OJP Assurances .....	80
B. Certifications Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements .....	81
5. Letters of Support and Authorization Letters .....	83
Sample Authorization Letter .....	85
6. Policy and Procedures Manual .....	87

## **General Information .....89**

Drug Court Training and Technical Assistance Program .....	91
Definitions .....	97
Program Provisions .....	99

## **Appendixes .....103**

A. FY 2002 Applicant Workshops Registration Form .....	105
B. Violent Offender Frequently Asked Questions .....	107
C. Drug Court Grantee Reporting Requirements .....	111
Drug Court Grantee Data Collection Survey .....	112
D. Process Evaluations and Management Information Systems .....	117
E. Comprehensive Care Continuum .....	123

## **Resources: Additional Federal Drug Court Funding Sources .....127**

A. Bureau of Justice Assistance	
<i>Edward Byrne Memorial State and Local Law Enforcement Assistance</i> Fact Sheet .....	131
<i>FY 2001 Local Law Enforcement Block Grants Program</i> Fact Sheet .....	137
State Offices Administering the Edward Byrne Memorial State and Local Law Enforcement Program .....	141
B. Office of Juvenile Justice and Delinquency Prevention	
<i>An Overview of the JAIBG Program</i> Fact Sheet .....	147
State Offices Administering the Juvenile Accountability Incentive Block Grants Program .....	149
C. U.S. Department of Health and Human Services, Center for Substance Abuse Treatment .....	157
State Offices Administering the CSAT Block Grant Program .....	159

## **Recommended Reading .....165**

## **Addresses on the World Wide Web .....167**

---

# APPLICATION CHECKLIST

All applications must be submitted electronically through the Grants Management System (GMS) by 5 p.m. e.t. **January 4, 2002**. For further information on GMS, see page 23, or go to [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

*Your GMS application must include (in the following order)*

- \_\_\_\_\_ An Application for Federal Assistance (Standard Form 424). All data fields in the electronic form must be populated, see page 25.
- \_\_\_\_\_ One Program Narrative file that includes the following
  - A. Applicant Information Page, see page 30.
  - B. Abstract, see page 32.
  - C. Program Design, see page 33.
  - D. Time Task Plan, see page 55.
  - E. Applicant Certifications, see page 57.
  - F. Consent Form (for implementation and single jurisdiction enhancement grant applicants only), see page 61.

Please refer to corresponding sections in the application to determine the contents of each attachment. ***Applicants are encouraged to follow the outline provided.***

***Please note that you must upload one file per attachment. Only the most current file uploaded to the appropriate attachment will be saved as a part of the application.*** Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design Narrative, Time Task Plan, and Applicant Certifications as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract.

- \_\_\_\_\_ A Budget Detail Worksheet file, see page 73.
- \_\_\_\_\_ A Budget Narrative file, see page 65. (Must be attached under Other Program Attachments in GMS.)
- \_\_\_\_\_ The name of the authorizing official on the Assurances and Certifications screen. The authorizing official must review the Assurances and Certifications forms in their entirety (see pp. 80–82). The authorizing official does not need to submit signed hard copies of these forms to the Drug Courts Program Office.

*(over)*

\_\_\_\_\_ Letters of Support (if applicable) and Authorization Letters (if applicable), see page 83. These items must be faxed to 202-354-4147 by 5 p.m. e.t. **January 4, 2002**. Be sure to include your assigned application number (e.g., 2001-Z001-MD-DC) on all faxed documents for identification purposes.

\_\_\_\_\_ **If you are applying for a single jurisdiction enhancement grant**, a copy of the Policy and Procedures Manual must be postmarked by **December 21, 2001**, to the Drug Courts Program Office, 810 Seventh Street NW., Washington, DC 20531, see page 87. The application number must appear on the manual. If you have previously submitted a Policy and Procedures Manual as a grant recipient of the Drug Courts Program Office, you do not need to resubmit, but must reference this fact on your Applicant Information Page.

**IMPORTANT NOTE: Applications that do not meet the following formatting requirements will not be reviewed or considered for funding.**

The **Program Design** section must be

1. Typed using a 12-point font.
2. Formatted with 1-inch top and bottom margins.
3. Submitted with all pages numbered.
4. Submitted with a Program Design that does not exceed the total page limit allowed for the grant category.
  - a) Adult Drug Court Implementation Grants: 26-page limit.
  - b) Juvenile Drug Court Implementation Grants: 26-page limit.
  - c) Single Jurisdiction Drug Court Enhancement Grants: 16-page limit.
  - d) Statewide Drug Court Enhancement Grants: 16-page limit.

**IMPORTANT NOTE:** At the time of this printing, funds continue to be available for distribution of Drug Courts grants for this fiscal year (FY) 2002 solicitation, under the authority of the Omnibus Consolidated Rescissions and Appropriations Act of 1996, Pub. L. No. 104-135, § 114 (b)(1)(a), 110 Stat. 1321 (1996). However, for FY 2002 the President has requested \$50 million in funding from this program. That appropriation request is still pending, and the amount provided by Congress for FY 2002 will determine the specific size of FY 2002 Drug Courts grants.



---

# INTRODUCTION

## The Drug Court Movement

The emergence of crack cocaine in the mid-1980s had an unprecedented and dramatic impact on the Nation's criminal justice system. In an effort to stem the street drug dealing and the crime and violence associated with illegal drug use, the arrest and prosecution of drug offenders was dramatically escalated. At the same time, penalties for the possession and sale of illegal drugs were toughened so that greater numbers of drug offenders were charged with felonies that carried sentences of incarceration. As a result of the Nation's war on drugs, greater numbers of drug offenders were arrested, prosecuted, and convicted; however, drug offenders received few, if any, treatment services. The result was a revolving door syndrome: drug offenders cycled in and out of the justice system.

The influx of drug offenders into the system severely strained the courts, forcing some to the brink of collapse. In an effort to address growing caseloads, courts employed delay-reduction strategies, including establishing specialized court dockets to expedite drug case processing. These approaches, however, did little to stem the tide of drug offenders flowing into the system, to habilitate drug offenders already in the system, or to reduce recidivism among released offenders.

In 1989, troubled by the devastating impact of drugs and drug-related crime on their criminal justice systems, several communities began experimenting with an approach to low-level drug offenses that brought significant change to the way the court system does business. This new approach integrated substance abuse treatment, sanctions, and incentives with case processing to place nonviolent drug-involved defendants in judicially supervised habilitation programs. The traditional system had rarely provided substance abuse treatment to defendants in any systematic way and, in many cases, provided little or no threat of sanctions to drug offenders.

The new approach—a significant departure from traditional court practice—was not always widely supported by members of the judiciary, prosecutors, and the defense bar. However, judges, prosecutors, and other representatives of the justice system across the country who were struggling with similar issues involving drug offenders gradually began to examine the drug court approach to assess whether replication (or adaptation) might offer them a better response to drug cases.

Since 1989, more than 1,000 courts have implemented or are planning to implement a drug court to address the problems of substance abuse and drug-related crime. Local coalitions of judges, prosecutors, defense attorneys, treatment professionals, law enforcement officials, and other community stakeholders are using the coercive power of the court to force abstinence and alter behavior with a combination of escalating sanctions, mandatory drug testing, treatment, and strong aftercare programs to help offenders reenter the community. This grassroots criminal justice initiative began with the adult offender population, but with the success of adult drug courts over the past 10 years, the approach has been adapted to juvenile, tribal, and family drug courts.

Congress joined local communities in acknowledging the promise of drug courts to habilitate offenders, hold offenders accountable for their actions, and reduce victimization by intervening soon after arrest. By enacting Title V of the Violent Crime Control and Law Enforcement Act of

1994, Pub. L. No. 103-322, 108 Stat. 1796 (September 13, 1994), Congress authorized the Attorney General to make grants to States, State courts, local courts, units of local government, and Indian tribal governments to establish drug courts. The authority has been delegated to the Assistant Attorney General, Office of Justice Programs (OJP). The Drug Courts Program Office (DCPO) was established by OJP to administer the Drug Court Grant Program and to provide training, financial and technical assistance, and related programmatic guidance and leadership to communities interested in drug courts.

## **Important Partnership With Treatment**

For drug courts to be most effective, judges must rely on treatment providers and treatment coordinators to assist in developing treatment, habilitation, and supervision plans for each defendant. Treatment is most effective when offenders are matched correctly with an appropriate level of care as identified through the clinical assessment or diagnostic process. The treatment needs of individuals eligible for the drug court program are assessed, as are any related medical and psychological problems that the treatment program will have to address. Length of stay in treatment and in aftercare are factors associated with positive outcomes and, in particular, with the cessation of drug use, reduction in recidivism rates, and improvement in educational and employment status and family relationships.

In coordination with the drug court judge and other court personnel, treatment and other case management personnel (such as those involved with Treatment Alternatives to Street Crime [TASC] programs) assess clients' treatment needs, track their progress in treatment programs, and determine appropriate levels of treatment services. Supportive social services provide drug court staff with links to employment, educational/vocational placement, family counseling, and housing placement assistance for drug court participants.<sup>1</sup>

Drug court practitioners understand that drug addiction is a complex, chronic, relapsing disease and that a comprehensive, sustained continuum of therapeutic interventions and services can increase clients' periods of abstinence and reduce the rate of relapse, rearrest, and incarceration. Therapeutic interventions and services include, but are not limited to, prompt intake and assessment; detoxification, if indicated; and substance abuse treatment ranging from outpatient to residential services, including a strong focus on therapeutic relapse prevention methodologies.<sup>2</sup>

---

<sup>1</sup> J.S. Baer and Associates (ed.). *Addictive Behaviors: Across the Life Plan: Prevention, Treatment, and Policy Issues*. Sage Publications: Newbury Park, CA. 1993.

<sup>2</sup> Drug Courts Program Office. *Defining Drug Courts: The Key Components*. U.S. Department of Justice: Washington, DC. 1997.

## Key Components of Drug Courts

In January 1997, the U.S. Department of Justice (DOJ) released *Defining Drug Courts: The Key Components*, which is based on the experiences of those in the drug court field. The report describes the 10 key components of a drug court and provides performance benchmarks for each component. It was developed through a cooperative agreement between DCPO and the National Association of Drug Court Professionals, which convened the Drug Court Standards Committee. The committee comprised drug court practitioners throughout the Nation (judges, prosecutors, defense attorneys, treatment providers, pretrial service officers, and probation officers). The Conference of Chief Justices, the Conference of State Court Administrators, and several States have adopted the key components. More than 25,000 copies of the key components document have been distributed. The document has been used at more than 150 Federal, State, and locally sponsored drug court training conferences. The report is available through the National Criminal Justice Reference Service at 1-800-851-3420 and on the DCPO home page ([www.ojp.usdoj.gov/dcpo](http://www.ojp.usdoj.gov/dcpo)).

As identified by the committee, the 10 key components of a drug court are as follows:

1. Drug courts integrate alcohol and other drug treatment services with justice system case processing.
2. Using a nonadversarial approach, prosecution and defense counsel promote public safety while protecting participants' due process rights.
3. Eligible participants are identified early and promptly placed in the drug court program.
4. Drug courts provide access to a continuum of alcohol, drug, and related treatment and rehabilitation services.
5. Abstinence is monitored by frequent alcohol and other drug testing.
6. A coordinated strategy governs drug court responses to participants' compliance.
7. Ongoing judicial interaction with each drug court participant is essential.
8. Monitoring and evaluation measure the achievement of program goals and gauge effectiveness.
9. Continuing interdisciplinary education promotes effective drug court planning, implementation, and operations.
10. Forging partnerships among drug courts, public agencies, and community-based organizations generates local support and enhances drug court program effectiveness.

## Impact of the Drug Court Movement

Drug courts have a significant impact on the communities they serve. Information released by the Drug Court Clearinghouse, operated by American University and funded by the Drug Courts Program Office, released findings in June 2001 that demonstrate the success of drug courts. The following information was compiled from 374 drug courts that responded to the clearinghouse survey.

**A. Client profile**

1. More than **74,000 individuals have graduated** from a drug court.
2. Almost 50 percent of clients have used drugs for at least 10 years and were using multiple illegal drugs.
3. 75 percent of clients are parents of minor children.
4. 65 percent of graduates have been previously incarcerated for drug offenses.

**B. The retention rates** (ratio of current participants and graduates divided by the total number enrolled) for drug court participants remains high, generally **between 60 and 80 percent**, despite the difficult population most programs are targeting.**C. Client outcomes**

1. More than **2,100 drug free babies** have been reported born to drug court participants. (Experts estimate that the care and treatment for each child born addicted to drugs costs, at a minimum, \$250,000 per child for the first few years of life. These costs rise to as high as \$750,000 per child by the time the child reaches age 18.)
2. **More than 78 percent of graduates obtained/retained employment.**
3. More than 4,500 parents with previous child support orders are now current in their child support as a result of participating in a drug court.
4. More than 3,500 parents were able to regain custody of their children as a result of participating in a drug court.

**D. To date, 30 States have passed legislation supporting drug courts, and an additional 8 are introducing legislation supporting drug courts.**

In June 2001, Columbia University's National Center on Addiction and Substance Abuse (CASA) released findings from their third major academic review and analysis of 37 drug court evaluations. Since 1998, CASA has reviewed 96 drug court evaluations. The conclusions drawn from this research generally are consistent with those of previous reviews published by the author in June 1998 and December 1999. Drug courts have achieved considerable local support and have provided intensive, long-term treatment services to offenders with long histories of drug use and criminal justice contacts, previous treatment failures, and high rates of health and social problems. Program completion rates generally are consistent with previous findings, with an average of 47 percent of participants graduating. Drug use and criminal activity are relatively reduced while participants are in the program.

The Crime and Justice Research Institute released results in September 2000, from the first phase of a retrospective evaluation, funded by the National Institute of Justice, of the Las Vegas (Clark County), Nevada, and Portland (Multnomah County), Oregon, drug courts.

The evaluation of the Portland Drug Court demonstrated that

- Drug court graduates were rearrested notably less frequently than nongraduates over the entire study period and when each yearly cohort was examined during 1-, 2-, and 3-year followups; 35 percent of graduates were rearrested within 3 years compared with 61 percent of nongraduates. The differences were largest when rearrests for drug offenses were examined.

The evaluation of the Las Vegas Drug Court demonstrated that

- Drug court graduates were rearrested notably less frequently than nongraduates over the entire study period and when each yearly cohort was examined during 1-, 2-, and 3-year followups; 46 percent of graduates were rearrested within 3 years compared with 76 percent of nongraduates. The differences were largest when rearrests for drug offenses were examined.

Abt Associates released results in September 2000, from the first phase of a retrospective evaluation, funded by the National Institute of Justice, of the Pensacola (Escambia County), Florida, and Kansas City (Jackson County), Missouri, drug courts.

The evaluation of the Pensacola Drug Court demonstrated that

- The proportion of the target population rearrested on any new felony offenses decreased from 40 percent to 12 percent since program startup, and the impact of program participation on criminal recidivism was statistically significant.

The evaluation of the Kansas City Drug Court demonstrated that

- The proportion of the target population rearrested on any new felony offenses decreased from 50 percent to 35 percent since program startup, and the impact of program participation on criminal recidivism was statistically significant.

---

# **FY 2002 PROGRAM**

## Background

The Drug Courts Program Office, under the authority of the Assistant Attorney General, Office of Justice Programs, U.S. Department of Justice, was established in 1995 as a result of the 1994 Crime Act. DCPO administers the Drug Court Grant Program and the Drug Court Training and Technical Assistance Program. The Drug Court Grant Program is a discretionary program designed to assist States, State courts, local courts, units of local government, and Indian tribal governments in developing and establishing drug courts for substance-abusing adult and juvenile offenders.

Since 1995 DCPO has awarded more than \$160 million to approximately 600 communities to support the planning, implementation, or enhancement of an adult, juvenile, family, tribal, or Driving While Intoxicated/Driving Under the Influence (DWI/DUI) drug court. As a result of DCPO funding, 250 communities have implemented a drug court. Another 141 drug courts were developed as a result of DCPO training but implemented without DCPO funding. DCPO has conducted more than 120 monitoring visits to drug courts. In the past 2 years, DCPO has funded and directed 50 training workshops and provided more than 15,000 incidences of technical support and assistance. At the time of this printing, funds continue to be available for distribution of Drug Courts grants for this fiscal year (FY) 2002 solicitation, under the authority of the Omnibus Consolidated Rescissions and Appropriations Act of 1996, Pub. L. No. 104-135, § 114 (b)(1)(a), 110 Stat. 1321 (1996). However, for FY 2002 the President has requested \$50 million in funding from this program. That appropriation request is still pending, and the amount provided by Congress for FY 2002 will determine the specific size of FY 2002 Drug Courts grants.

Programs funded by DCPO are required by law to target **nonviolent offenders** and must implement a drug court based on the 10 key components. The term “drug court” means a specially designed court calendar or docket (**a separate or special jurisdiction court is neither necessary nor encouraged**).

For this program, the term “violent offender” means a person who either

- A. Is charged with or convicted of an offense during the course of which
  1. The person carried, possessed, or used a firearm or other dangerous weapon;
  2. The person used force against another person; or
  3. Death, or serious bodily injury, occurred to any person, without regard to whether any of the circumstances described above is an element of the offense or conduct of which or for which the person is charged or convicted; or
- B. Has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

Applicants must provide written assurance that they will target nonviolent offenders as defined by statute. Further information on the Violent Offender Prohibition may be found in appendix B.



## **FY 2002 Drug Court Grant Program**

The FY 2002 Drug Court Grant Program is responsive to, and supportive of, developments in the field. As a result, DCPO announces the availability of both implementation and enhancement grants. All applications must be submitted electronically via the Grants Management System by 5 p.m. e.t. **January 4, 2002**. See page 23 for further information on GMS.

### **1. Application Deadline and Formatting Requirements**

#### *Deadline*

All applications must be submitted electronically through the Grants Management System (GMS) by 5 p.m. e.t. **January 4, 2002**. See page 23 for further information on GMS.

#### *Formatting Requirements*

**Applications that do not meet the following formatting requirements will not be reviewed or considered for funding.**

The **Program Design** section must be

1. Typed using a 12-point font.
2. Formatted with 1-inch top and bottom margins.
3. Submitted with all pages numbered.
4. Submitted within the total page limit allowed for the type of grant category.
  - a) Adult Drug Court Implementation Grants: 26-page limit.
  - b) Juvenile Drug Court Implementation Grants: 26-page limit.
  - c) Single Jurisdiction Drug Court Enhancement Grants: 16-page limit.
  - d) Statewide Drug Court Enhancement Grants: 16-page limit.

### **2. Application Review and Award Process**

Applications submitted in response to this solicitation will be reviewed by a panel of drug court professionals, who will make recommendations to OJP regarding the relative strengths of the applications. Reviewers will consider how well each applicant covers the information requested in this guideline. No appendixes will be reviewed other than those required in the application. The reviewers will consider whether budgets are detailed, reasonable, and directly related to the proposed program. Priority will be given to **innovative** and **comprehensive** programs. Only programs containing the essential elements of treatment drug courts, described on page 7 of this guideline, will be funded. The final award decision is by OJP.

Awards will be processed and mailed to the recipients by May 30, 2002. Once funding decisions are made, a list of selected applicants will be available on the OJP home page at [www.ojp.usdoj.gov](http://www.ojp.usdoj.gov).

At the conclusion of the review process, letters will be sent to all applicants notifying them that their proposal has been selected or providing the reasons it was not selected.

### ***Equitable Distribution of Grant Awards***

In all cases, the U.S. Department of Justice will attempt to award grants on a geographically equitable basis that will address the needs of smaller jurisdictions as well as large urban centers. Jurisdictions that contain federally designated Empowerment Zones or Enterprise Communities may receive special consideration if they describe how they will target their drug court effort to the designated area.

## **3. Grant Categories**

### ***Implementation Grant Category***

Implementation grants are available to assist jurisdictions with the initial implementation of a drug court based on the 10 key components, to help jurisdictions develop a strong program, and to allow jurisdictions to collect data necessary to demonstrate the effectiveness of the program. After receiving an implementation grant a jurisdiction should be able to demonstrate its program's effectiveness to potential State and local funding sources to develop the resources necessary to sustain the program after the implementation grant expires.

Implementation grants are available to any jurisdiction that has completed the planning process and is ready to implement a drug court. Jurisdictions that are able to provide the level of detail requested are encouraged to apply—Note that there are separate sections for adult drug court implementation and juvenile drug court implementation. Jurisdictions that have completed the DCPO-sponsored planning training will be given special consideration for funding. Completion of DCPO-sponsored planning training, however, is not a guarantee of receipt of an implementation grant.

Subject to the availability of an appropriation, implementation grants will be awarded for up to a total of \$500,000 and for up to 3 years. Jurisdictions may apply for a 1-, 2-, or 3-year project period; however, applicants should carefully review the Budget Narrative and Budget Detail Worksheet Attachments section on page 65 for more specific information on the budget requirements associated with each project period.

**IMPORTANT NOTE:** All implementation grant recipients' access to second- and third-year funds will be contingent upon DCPO review and approval of the following:

1. Policies and Procedures Manual.
2. Time Task Plan, which has been updated and revised as needed.
3. A strategy that describes the jurisdiction's plan for sustaining the drug court program after Federal financial assistance has ended.

Drug court programs supported by implementation grant funds should

- A. Promote public safety and contribute to a reduction in substance abuse and recidivism among nonviolent adult and juvenile substance-abusing offenders.
- B. Reduce reliance on incarceration within existing correctional systems and local jails/detention centers.
- C. Use a nonadversarial approach to provide
  - 1. Early identification, referral, and screening; early and frequent judicial supervision; special case processing; and random and frequent drug testing.
  - 2. Coordinated, managed, comprehensive, and appropriate substance abuse treatment services, as well as a full array of ancillary services ranging from, but not limited to, mental health, educational, vocational, public housing, and family health care (refer to Appendix E: Comprehensive Care Continuum).
  - 3. Regular staffings and status hearings at which the supervising judicial official reviews the progress (or lack thereof) of each participating defendant.
  - 4. Appropriate incentives and sanctions, including the possibility of confinement, incarceration, or prosecution in the event of a defendant's noncompliance with drug court program requirements.
  - 5. Ongoing criminal justice supervision and case management through the pretrial, probation, or other supervised released programs, using monitoring, tracking, and case management.
- D. Establish monitoring and evaluation measures that will demonstrate the effectiveness of the program.
- E. Demonstrate coordination and collaboration with existing community resources and initiatives under way at the Federal, State, or local level to meet the needs of this population and forge new partnerships among criminal justice agencies (law enforcement, prosecution, defense, pretrial, probation), human services agencies, and community-based organizations to enhance program effectiveness.

See page 34 for the Program Design requirements for Adult Drug Court Implementation Grants and page 41 for Juvenile Drug Court Implementation Grants.

### ***Single Jurisdiction Enhancement Grant Category***

Single Jurisdiction Enhancement Grants are available to any jurisdiction that already has a fully operational drug court and wants to improve the delivery of services or enhance the existing drug court through additional services. Jurisdictions that have what they consider to be a “pilot” program should not apply in this category. Rather, jurisdictions with pilot drug court programs should consider applying for an implementation grant.

This category is open to all operational drug courts. **Priority will be given to drug courts that have never received a grant from DCPO.** Drug courts that have previously received a grant or that currently have a grant must demonstrate a compelling need for additional Federal funding and provide plans for long-term funding. Additionally, applicants in this category must demonstrate the effectiveness of their programs through evaluation findings.

Subject to the availability of an appropriation, Single Jurisdiction Enhancement Grants will be awarded for up to a total of \$300,000 and for up to 2 years. An applicant may apply for one or more of the purpose areas within an application. Jurisdictions may apply for a 1- or 2-year project period; however, applicants should carefully review the Budget Narrative and Budget Detail Worksheet Attachment section on page 65 for more specific information on the budget requirements associated with each project period.

Single Jurisdiction Enhancement Grants may be used to

- A. Continue program operations.
- B. Provide additional services to drug court clients in an effort to increase the likelihood of successful rehabilitation.
- C. Develop training programs to teach criminal and juvenile justice professionals, treatment providers, community members, researchers, and other stakeholders about the drug court philosophy and/or the components of a drug court program.
- D. Attend training programs to teach criminal and juvenile justice professionals, treatment providers, community members, researchers, and other stakeholders about the drug court philosophy and/or the components of a drug court program.
- E. Conduct process and/or outcome evaluations. Evaluation plans *must* incorporate the principles set forth in appendix D.
- F. Develop and implement an automated data collection system, or improve an existing system, for the drug court program.

### ***Statewide Enhancement Grant Category***

Enhancement grants are available to State-level agencies, such as the Administrative Office of the Courts or the Alcohol and Other Drug Agency, to establish evaluation and/or automated data collection system initiatives or to provide statewide training or technical assistance.

Statewide Enhancement Grants may be used to

- A. Develop training programs to teach criminal and juvenile justice professionals, treatment providers, community members, researchers, and other stakeholders about drug court philosophy and/or the components of a drug court program.

- B. Attend training programs to teach criminal and juvenile justice professionals, treatment providers, community members, researchers, and other stakeholders about drug court philosophy and/or the components of a drug court program.
- C. Conduct process and/or outcome evaluations. Evaluation plans *must* incorporate the principles set forth in appendix D.
- D. Develop and implement an automated data collection system, or improve an existing system, for the drug court program.

See page 50 for the Program Design requirements for Single Jurisdiction Drug Court Enhancement Grants; see page 53 for the requirements for Statewide Drug Court Enhancement Grants.

## **FY 2002 Tribal Drug Court Guideline and Application Kit**

Tribal communities interested in planning, implementing, or enhancing an adult or juvenile tribal drug court will receive a separate application kit. The application kit is available by visiting DCPO online at [www.ojp.usdoj.gov/dcpo](http://www.ojp.usdoj.gov/dcpo) or by calling 1-800-421-6770.

## **FY 2002 Drug Court Training Program**

### **Adult, Juvenile, and Family Drug Court Planning Initiative**

The Drug Court Planning Initiative (DCPI) consists of a series of three workshops to assist communities in planning a drug court. As part of DCPI, communities will **not** need to submit an application for a planning grant or provide a 25-percent local match to receive training on planning an adult, juvenile, or family drug court.

Again, this year DCPO will serve up to 200 communities in planning an adult, juvenile, or family drug court. DCPO will pay the cost of each workshop and each team's travel expenses (airfare, ground transportation, hotel, and meals), based on Federal travel regulations, for up to 10 team members.

#### **To be eligible to participate in DCPI**

1. **The Adult Drug Court Team** must consist of the judge, prosecutor, public defender, treatment representative, coordinator, and research or management information system specialist.
2. **The Juvenile Drug Court Team** must consist of the judge, prosecutor, public defender, treatment representative, coordinator, research or management information system specialist, and school representative.
3. **The Family Drug Court Team** must consist of the judge, treatment representative, coordinator, research or management information system specialist, and representative from the child welfare protective services.

A specialized series of workshops on how to plan adult, juvenile, or family drug courts will be offered. Each workshop will build on the foundation of the previous workshop. Thus, the same drug court team must attend all three workshops; however, only the judge and drug court coordinator will attend the first workshop of the adult training program. Each workshop will include the observation of a drug court, state-of-the-art information on drug courts, and opportunities to work with and learn from drug court practitioners.

These workshops will begin in October 2002 and end in October 2003. To receive a registration packet, contact DCPI via the Internet at [www.ncjrs.org/dcpi\\_registration](http://www.ncjrs.org/dcpi_registration). You will receive the following information:

1. A registration form with instructions.
2. Travel rules and regulations.

The first 200 communities to register successfully for DCPI will be eligible to participate in training. Registration forms must be returned by **January 4, 2002**. Communities will be notified of their participation eligibility by March 2002. In May 2002, registered communities will select the workshops their teams would like to attend on a first-come, first-served basis.

Teams that participate in all three workshops will receive a certificate of completion and priority in the implementation category (with the exception of family drug court implementation because of statute prohibition) in the FY 2004 DCPO application kit.

**Participation in DCPI does not guarantee that a jurisdiction will receive an implementation grant. This is a competitive grant program.**

## **Operational Drug Court Training**

The Drug Courts Program Office currently is developing single-subject training programs for operational drug courts. These training programs are designed to address a variety of issues that drug courts face. The following is a list of the subjects to be addressed.

1. Managing the External and Internal Drug Court Environment.
2. Team Building.
3. Cultural Competency.
4. Juvenile Drug Court Sanctions and Incentives.
5. Adolescent Development.
6. Adolescent Treatment.
7. Acquiring Resources and Building Linkages With the Community.
8. Incentives and Sanctions for Juvenile Drug Court.
9. The Juvenile Drug Court Probation Officer: Roles, Responsibilities, and Effective Adolescent Practice.

These training programs will be open to all operational drug courts. DCPO grant recipients will receive priority and are encouraged to use their grant funding to attend. For more information about the trainings, visit [www.ojp.usdoj.gov/dcpo](http://www.ojp.usdoj.gov/dcpo).

For further information about the Drug Court Training and Technical Assistance Program, see page 91.

---

# APPLICATION PROCESS



## Overview of the Grants Management System

In fiscal years 2001 and 2002, the Drug Courts Program Office was one of several OJP offices to pilot the OJP online Grants Management System. GMS is a Web-based grant management system designed to meet the requirements of all online Internet-based application submissions by external organizations and OJP internal application processing and grants administration requirements. DCPO reviews and processes all awards through GMS. Once you have begun the application process, you will be able to access help screens to answer questions regarding certain data fields and other aspects of GMS. You can access both the FY 2002 Drug Court Grant Program Application Kit and Guidelines and a link to GMS from the OJP Web site at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

Again in fiscal year 2002, grant applications to DCPO must be submitted electronically. To assist you in submitting your application online, a GMS Applicant Procedures manual can be found at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm). **Click on the “GMS Application Procedures Handbook” link.**

It is critical that the person who submits the application is either the signing authority or has been delegated or designated as the signing authority by the appropriate entity. The application contains assurances and certifications that must be reviewed and accepted electronically by the authorizing official or the designated authorizing official. If either the authorizing official or designated authorizing official created a user profile and submitted an application in FY 2000 and/or FY 2001, he or she will not be required to create a new user profile for FY 2002. However, if he or she did not submit a prior application, his or her user profile must be approved by DCPO by **December 14, 2001** (2 weeks prior to the submission deadline of January 4, 2002).

If you submit application(s) to other OJP offices or bureaus, please use a separate user profile for each individual application. This will ensure that each user profile has a distinct application.

Only the most current file uploaded as an attachment is saved as part of the application. Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design, Narrative, Time Task Plan, and Applicant Certifications as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract.

If you do not have an Internet account established, please contact the GMS Hotline at 1-888-549-9901 for assistance in creating an account. Please be advised that applicants must use Netscape 4.75 or an equivalent browser for security purposes.

## Instructions for Submitting Applications Online—Grants Management System

Using an established Internet account, or after creating an account with GMS staff assistance, complete the following steps:

**Step 1.** Visit the GMS Web site at [www.ojp.usdoj.gov/fundopps.htm](http://www.ojp.usdoj.gov/fundopps.htm).

**Step 2.** Click on the “Logon directly to the Grants Management System (GMS)” link.

**Step 3.** Follow the onscreen instructions. If you are a first time GMS user, click the “First Time User?” link. If you have any questions, refer to the Applicant Procedures or access applicable help screens. In the event that your questions cannot be addressed by accessing the online GMS reference tools, call the GMS Hotline at 1-888-549-9901 for assistance. Previous users should contact the GMS Hotline if they are having difficulty with their user ID and password.

**Step 4.** Submit your application online by 5 p.m. e.t. **January 4, 2002.** Do not procrastinate; new user profiles must be approved by DCPO before submitting your application. All applicants must have their user information approved by DCPO by 5 p.m. e.t. **December 14, 2001.**

**Step 5.** Fax letters of support, letters of authorization, and a copy of any active Federal grant awards related to this effort (see page 57) to 202-354-4147 by 5 p.m. e.t. **January 4, 2002.** Include your GMS-assigned application number on all faxed documents for identification purposes.

For the purposes of this application kit, eligible applicants are States, State courts, local courts, counties, other units of local government, and Indian tribal governments, acting directly or through agreement with other public or private entities. Definitions of eligible applicants are provided on page 97. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants.

For an application from a subunit of government (e.g., county probation department, district attorney’s office, pretrial services agency) to be considered, it must be authorized as representing an eligible applicant (described above). For example, the county executive may designate the county probation or county district attorney’s office as its representative for the purpose of application. A model authorization letter can be found on page 85.

Any community that currently has, or previously had, a grant from DCPO may submit an application; however, a compelling case must be made for the need for additional resources from DCPO.

## 1. Application for Federal Assistance (SF 424)

After you have established a GMS user profile and selected the DCPO solicitation, you are ready to move on to Step 1 of the application process. Step 1 is to complete the Application for Federal Assistance. This is a standard form used by most Federal agencies. This form contains 18 different items that are to be completed. You must ensure that all data fields are populated, unless otherwise indicated in the instructions below.

### Item Instructions

1. **Type of Submission:** If this proposal is not for construction or building purposes, check the “Non-Construction” box in the application section.
2. **Date Submitted:** Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
3. **Date Received by State:** Leave blank. This item is completed by the State single point of contact, if applicable.
4. **Date Received by Federal Agency:** Leave blank. This item will be completed by OJP.
5. **Applicant Information:** The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact and include his or her telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below.
6. **Employer Identification Number:** Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7. **Type of Applicant:** Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium.”
8. **Type of Application:** Check either “new” or “continuation.” Check “new” if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation” if the project will continue activities of a project, including minor modifications, or implement the next phase of a project that was begun under a prior award.
9. **Name of Federal Agency:** Type in the name of the awarding agency, “Drug Courts Program Office, Office of Justice Programs.”
10. **Catalog of Federal Domestic Assistance Number:** This would be contained in the program announcement. The number for this program would be 16.585.

11. **Descriptive Title of Applicant's Project:** Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant's fiscal year, i.e., 12-month audit period, ex. 10/1/97–9/30/98.
12. **Areas Affected by Project:** Identify the geographic area(s) of the project. Indicate "statewide" or "National," if applicable.
13. **Proposed Project Dates:** Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.
14. **Congressional Districts:** Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate "statewide" or "National," if applicable.
15. **Estimated Funding:** In line "a," enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines "b-f," as appropriate.
16. **State Executive Order 12372:** Some States require you to submit your application to a State "Single Point of Contact" (SPOC) to coordinate applications for Federal funds within the State. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the "Administrative Requirements" section of the program announcement for more information.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.
17. **Delinquent Federal Debt:** This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18. **Authorized Representative:** Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as "original" to help distinguish the original from the photocopies.

**NOTE:** The following form is the hard copy version of the SF 424. The electronic version in GMS does not appear on the screen in this format.

# Application for Federal Assistance

OMB Approval No. 0348-0043

<b>1. Type of Submission</b> <table style="width: 100%;"><tr><td style="width: 50%;"><b>Application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction</td><td style="width: 50%;"><b>Pre-application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction</td></tr></table>		<b>Application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<b>Pre-application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	2. Date Submitted (mm/dd/yyyy)	Applicant Identifier																
		<b>Application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction	<b>Pre-application</b> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction																		
		3. Date Received by State (mm/dd/yyyy)	State Application Identifier																		
4. Date Received by Federal Agency (mm/dd/yyyy)	Federal Identifier																				
<b>5. Applicant Information</b>																					
Legal Name		Organizational Unit																			
Address (give city, county, State, and zip code)		Name and telephone number of the person to be contacted on matters involving this application (give area code)																			
<b>6. Employer Identification Number (EIN) (xx-yyyymm)</b> <div style="border: 1px solid black; width: 150px; height: 20px; margin-bottom: 5px;"></div> <div style="border: 1px solid black; width: 150px; height: 20px;"></div>		<b>7. Type of Applicant</b> (enter appropriate letter in box) <div style="border: 1px solid black; width: 30px; height: 20px; float: right;"></div> <table style="width: 100%; font-size: small;"><tr><td>A. State</td><td>J. Private University</td></tr><tr><td>B. County</td><td>K. Indian Tribe</td></tr><tr><td>C. Municipal</td><td>L. Individual</td></tr><tr><td>D. Township</td><td>M. Profit Organization</td></tr><tr><td>E. Interstate</td><td>N. Nonprofit</td></tr><tr><td>F. Inter-municipal</td><td>O. Public Housing Agency</td></tr><tr><td>G. Special District</td><td>P. Other (Specify)</td></tr><tr><td>H. Independent School Dist.</td><td></td></tr><tr><td>I. State Controlled Institution of Higher Learning</td><td></td></tr></table>		A. State	J. Private University	B. County	K. Indian Tribe	C. Municipal	L. Individual	D. Township	M. Profit Organization	E. Interstate	N. Nonprofit	F. Inter-municipal	O. Public Housing Agency	G. Special District	P. Other (Specify)	H. Independent School Dist.		I. State Controlled Institution of Higher Learning	
				A. State	J. Private University																
B. County	K. Indian Tribe																				
C. Municipal	L. Individual																				
D. Township	M. Profit Organization																				
E. Interstate	N. Nonprofit																				
F. Inter-municipal	O. Public Housing Agency																				
G. Special District	P. Other (Specify)																				
H. Independent School Dist.																					
I. State Controlled Institution of Higher Learning																					
<b>8. Type of Application:</b> <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision  If Revision, enter appropriate letter(s) in box(es): <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block; margin: 0 5px;"></div> <div style="border: 1px solid black; width: 20px; height: 20px; display: inline-block; margin: 0 5px;"></div>  A. Increase Award    B. Decrease Award    C. Increase Duration D. Decrease Duration    Other (specify)		<b>9. Name of Federal Agency</b>																			
<b>10. Catalog of Federal Domestic Assistance Number (xx-yyy)</b>  Title: <div style="border: 1px solid black; width: 50px; height: 20px; display: inline-block; margin: 0 5px;"></div> <div style="border: 1px solid black; width: 50px; height: 20px; display: inline-block; margin: 0 5px;"></div>		<b>11. Descriptive Title of Applicant's Project</b>																			
<b>12. Areas Affected by Project</b> (cities, counties, States, etc.)																					
<b>13. Proposed Project</b>		<b>14. Congressional Districts of</b>																			
Start Date (mm/dd/yyyy)	Ending Date (mm/dd/yyyy)	a. Applicant	b. Project																		
<b>15. Estimated Funding</b>		<b>16. Is Application Subject to Review by State Executive Order 12372 Process?</b> a. <b>Yes</b> This pre-application/application was made available to the State Executive Order 12372 Process for review on:  Date (mm/dd/yyyy) _____  b. <b>No</b> <input type="checkbox"/> Program is not covered by E.O. 12372  <b>or</b> <input type="checkbox"/> Program has not been selected by State for review.																			
a. Federal	\$ .00																				
b. Applicant	\$ .00																				
c. State	\$ .00																				
d. Local	\$ .00																				
e. Other	\$ .00																				
f. Program Income	\$ .00																				
g. Total	\$ .00																				
<b>17. Is the Applicant Delinquent on Any Federal Debt?</b> <input type="checkbox"/> Yes    If "Yes," attach an explanation <input type="checkbox"/> No																					
<b>18. To the best of my knowledge and belief, all data in this application/pre-application are true and correct, the document has been duly authorized by the governing body of the applicant and the applicant will comply with the attached assurances if the assistance is awarded.</b>																					
a. Typed Name of Authorized Representative		b. Title	c. Telephone Number (Include Area Code)																		
d. Signature of Authorized Representative		e. Date Signed (mm/dd/yyyy)																			

Previous Edition Usable  
Authorized for Local Reproductionform SF-424 (7/97)  
Prescribed by OMB Circular A-102

## 2. Program Narrative Attachments

Step 2 of the application process is to attach the Program Narrative. The Program Narrative consists of six separate sections, all of which must be attached and submitted as one file. **Only the most current file uploaded as an attachment is saved as part of the application.** Thus, if you do not assemble and attach the Applicant Information Page, Abstract, Program Design, Time Task Plan, and Applicant Certifications as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches the Applicant Information Page and subsequently attaches the Abstract as a separate file, we will only receive the Abstract. Please note that in order for your application to be considered for funding all six sections of the Program Narrative must be completed, and the page limits set forth in each section must not be exceeded. Following is a list of the six sections to be included in the Program Narrative:

- A. Applicant Information Page.
- B. Abstract.
- C. Program Design. To assist in the review of applications, follow the outline provided in each section. An applicant must choose one of the following four grant types:
  - 1. Adult Drug Court Implementation Grants.
  - 2. Juvenile Drug Court Implementation Grants.
  - 3. Single Jurisdiction Drug Court Enhancement Grants.
  - 4. Statewide Drug Court Enhancement Grants.

Note: The Program Design section of your application must be submitted using a 12-point font and 1-inch top and bottom margins, and all pages in the section must be numbered. This section must not exceed 26 pages in length for implementation grants and 16 pages in length for enhancement grants. **Applications will not be reviewed or considered for funding if they do not adhere to the formatting and page requirements.**

- D. Time Task Plan.
- E. Applicant Certifications.
- F. Consent Form (for implementation and single jurisdiction enhancement grant applicants only).

## **A. Applicant Information Page**

The first section of the Program Narrative is the Applicant Information Page. The following information must be provided in the order listed.

### **A. Authorizing Official Information**

1. Name and Job Title.
2. Agency.
3. Address.
4. Phone Number.
5. Fax Number.
6. E-mail Address.

### **B. Applicant Contact Information**

1. Name and Job Title.
2. Agency.
3. Address.
4. Phone Number.
5. Fax Number.
6. E-mail Address.

### **C. Size of Jurisdiction**

1. Population of jurisdiction.
2. Urban, suburban, or rural.
3. State, local, or tribal community.
4. Name of city and county where court is located.

### **D. Type of Drug Court Application**

1. Adult Implementation Grant.
2. Juvenile Implementation Grant.
3. Single Jurisdiction Enhancement Grant. Select all that apply.
  - ☐ Continue program operations.
  - ☐ Enhance resources.
  - ☐ Develop training programs.
  - ☐ Attend training programs.
  - ☐ Conduct process and/or outcome evaluations.
  - ☐ Develop an MIS.

4. Statewide Enhancement Grant. Select all that apply.
  - ☐ Develop training programs.
  - ☐ Attend training programs.
  - ☐ Conduct process and/or outcome evaluations.
  - ☐ Develop an MIS.
- E. Designation of jurisdiction by the U.S. Department of Housing and Urban Development as an Empowerment Zone or Enterprise Community.
  1. Applicants will identify themselves as such or state that this designation does not apply to their jurisdictions.
  2. Applicants will describe, in one paragraph, how they will target their drug court effort to their designated area.
- F. Indicate whether your jurisdiction has ever received a planning grant from the DCPO. Include the grant number for the award.
- G. Indicate whether your jurisdiction has ever received a continuation, enhancement, implementation, or mini-grant from DCPO. Include the grant number for each award.
- H. **Single Jurisdiction Enhancement Grants only**—Indicate if your jurisdiction has previously submitted a Policy and Procedures Manual to DCPO.

**[Statewide Enhancement Grant applicants, stop here.]**

- I. Provide the following breakdown of the target population:
  1. Age.
  2. Gender.
  3. Misdemeanor, felony, or both.
  4. Total number of participants to be served by the grant. Ranges are acceptable. (Note: for juvenile drug courts, provide the number of juveniles and the number of family members.)
- J. Drug Court Eligibility Criteria (include information on current charges and prior convictions).
- K. Drug Court Structure (choose those that apply)
  1. Deferred prosecution: Adjudication is deferred, and defendant is diverted to treatment program after being charged.
  2. Postadjudication: Adjudication occurs, but sentence is deferred or pronounced and defendant enters the treatment program.
  3. Other: Explain.
- L. Length of Drug Court Program (in months).



## **B. Abstract**

The second section of the Program Narrative must include a one-page summary of the program proposed for funding.

## **C. Program Design**

The third section of the Program Narrative is the Program Design. Applicants must select one type of grant.

**Applications that do not meet the following formatting and page requirements will not be reviewed or considered for funding.**

The **Program Design** section must be

1. Typed using a 12-point font.
2. Formatted with 1-inch top and bottom margins.
3. Submitted with all pages numbered.
4. Submitted within the total page limit allowed for the type of grant category.
  - a) Adult Drug Court Implementation Grants: 26-page limit.
  - b) Juvenile Drug Court Implementation Grants: 26-page limit.
  - c) Single Jurisdiction Drug Court Enhancement Grants: 16-page limit.
  - d) Statewide Drug Court Enhancement Grants: 16-page limit.

### ***1. Adult Drug Court Implementation Grants***

Subject to the availability of an appropriation, Adult Drug Court Implementation Grants are available for up to a total of \$500,000 in Federal assistance and for up to 3 years. To assist in the review of applications, follow the outline provided in each section. The Program Design should describe the adult drug court project to be implemented and **must** include all of the following information.

- A. **Statement of the Problem** ( $\frac{1}{2}$ –1 page): Briefly describe the nature and scope of the problem in your jurisdiction that will be addressed by this project. The following information should be included in this section.
1. Provide the following breakdown of the arrestee population in your community:
    - a) Race/ethnicity.
    - b) Age.
    - c) Gender.
  2. Provide information on the specific substance abuse patterns among adult offenders in your community.
  3. Describe how these substance abuse patterns negatively affect your community.
  4. Describe the volume of arrests and crime patterns for adult offenders in the community.
  5. Describe the problems associated with how the court system currently operates.
  6. Discuss the problem with how cases involving substance abuse are handled in the existing system.
  7. Discuss the availability of resources in the community.
- B. **Goals and Objectives** ( $\frac{1}{2}$ –1 page): Provide a broad statement (goals) describing the desired results of the proposed project and identify the specific objectives to be achieved. Goals and objectives should be described using measurable performance indicators and should include a discussion on how the achievement of goals will be measured. To begin the process of goal setting, it may be helpful to frame the issue by asking
1. How will the problems stated in section A be addressed by this program?
  2. What are the expected outcomes for the drug court?
  3. What impact will the program have on the adult offender and the community?
  4. How will we know that our goals have been achieved?
- C. **Description of the Drug Court Program** (8–10 pages): Describe the drug court program that will be implemented. All of the following questions must be answered and each key component addressed in the description.

**1. Screening and Eligibility**

- a) Provide a description of the group of adult offenders who will be eligible to receive the services of the drug court.
- b) What are the drugs of choice for the target population? What are the substance abuse patterns?
- c) How, and by whom, are eligible clients identified, screened, and referred to the drug court?
- d) Describe how the drug court will ensure that (1) program participants are reflective of the race, ethnic diversity, age, and gender of the arrestee population and (2) the program is serving the target population as defined in the program design.
- e) What is the average length of time, in days, between arrest and first appearance in the drug court? Explain the process.
- f) What is the average length of time, in days, between arrest and enrollment in treatment? Explain the process.
- g) Describe the monitoring process that will be implemented to ensure that the targeted capacity of the program is reached.

**2. Structure of the Drug Court** (e.g., deferred prosecution, postadjudication, or a combination)**3. Length of the Program****4. Case Processing**

- a) How does a case enter the drug court? Explain the process.
- b) How is the case resolved, based on the client's successful or unsuccessful completion of the drug court program?

**5. Assessment**

- a) Who and/or what agency is responsible for conducting a clinical assessment of the client?
- b) What are the assessment criteria? What instruments are used to assess the strengths and needs of the client?
- c) What is the time period for conducting an initial assessment? Explain the process.
- d) Describe how the assessment is used to develop the treatment plan and to match treatment needs with treatment services.

**6. Service Delivery Plan** (Applicants are strongly encouraged to review appendix E for guidance on the components of a comprehensive treatment continuum.)***Substance Abuse Treatment Services***

- a) Does the drug court use one treatment provider or multiple providers?
- b) Describe the treatment provider(s) (e.g., public health organization, private nonprofit, for-profit).

- c) How do the treatment providers exchange information about a client's progress with members of the drug court team?
- d) Is the ethnicity of the treatment staff compatible with the target population?
- e) Describe how the treatment services will serve clients from different cultures in the community.
- f) Describe the individualized treatment plan that is developed for each client that addresses the client's strengths and needs. How often is this plan reviewed and/or revised?
- g) Describe in detail the treatment protocol (e.g., phase structure, criteria for progressing through the program, frequency and intensity of treatment services).
- h) Describe the structured continuing care component of the drug court program.
- i) Do treatment services include (and, if so, how frequently)
  - Group counseling sessions?
  - Individual counseling sessions?
  - Family counseling sessions?
- j) Describe the gender- and age-specific treatment available.
- k) Describe how the program addresses anger management, violence prevention, victimization issues, and values formation as part of the program.

#### ***Aftercare/Continuing Care Services***

- a) Who is responsible for working with clients to develop their aftercare continuing care plans? What is the client's role in developing the plan?
- b) Describe the specific aftercare services available to the clients.
- c) Describe the timeframe that services are available.
- d) Who is responsible for coordinating and managing the aftercare/continuing care services? Explain the process.

**Note:** The drug court statute requires that grant recipients provide aftercare/continuing care services.

#### ***Educational and Vocational Services***

- a) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of educational and vocational services?
- b) Describe how the drug court will meet the clients' needs.
- c) Describe the role of the local education community with the drug court.

#### ***Primary and Mental Health Care Services***

- a) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of primary and mental health care services?

- b) Describe how the drug court will meet the clients' needs.
- c) Describe the role of the local medical and mental health community with the drug court program.

***Collateral Services***

- a) Who is responsible for working with clients to identify their collateral services needs and to ensure that these needs are met?
- b) To what extent are community resources available, and being leveraged by the drug court, to assist in the provision of collateral services?
- c) Describe the relationship the court has established to meet the collateral service needs of the clients. Collateral services may include, but are not limited to, the following:
  - Public housing.
  - Transportation.
  - Mentoring programs.
  - Community service.
  - Job preparation.

**7. Case Management**

- a) Who is responsible for providing case management?
- b) How is case management defined?
- c) What services are provided?
- d) How frequently are cases monitored?
- e) What is the approximate caseload per case manager?

**8. Judicial Supervision**

- a) Does the drug court team meet prior to regularly scheduled status hearings to review and discuss the progress of the clients? If not, how is this information provided to the judge and communicated to the team?
- b) How frequently does the client appear before the judge?
- c) Who, other than the judge and the client, participates in the status hearings (e.g., prosecutor, defense attorney, probation officers, treatment counselors)? What are their roles?

**9. Drug Testing**

- a) How frequently are clients tested for drug use?
- b) Who is responsible for administering the drug tests?
- c) Explain the randomization process.
- d) Explain the process/procedures used to guard against tampering and adulteration.
- e) What is the turnaround time for a result?

- f) What drugs will be tested for? Explain the rationale for determining which drugs will be tested for.

**10. Incentives and Sanctions**

- a) What are the graduated incentives and sanctions used in the program?
- b) What are the guidelines for applying graduated sanctions and incentives?
- c) How soon after an action (positive or negative) does the client receive the incentive or sanction?

**11. Graduation Requirements** (Provide details about the requirements for sobriety, employment, education, and life skills.)

**12. Expulsion Criteria** (What are the circumstances that cause a client to be terminated from the program?)

**13. Describe the community linkages** that the court has or will establish to support the program. (Community agencies and organizations **may include, but are not limited to:** bar associations, businesses, civic groups, community foundations, faith organizations, health and mental health agencies, hospitals, media outlets, social service agencies, universities/colleges, and Urban League.)

**D. Roles and Responsibilities of the Drug Court Team** (1–2 pages): Identify each member of the drug court team and describe his or her role and responsibilities. Also describe the mechanisms that have been, or will be, established to ensure effective communication and coordination among the team. The six key drug court team members must include a judge, prosecutor, defense attorney, treatment provider, researcher/evaluator/management information specialist, and drug court coordinator.

**E. Evaluation and Management Information System Plan** (8–12 pages): Grant recipients are **required** to conduct both a **process and an outcome evaluation**, and to collect and maintain the key data necessary to support both types of evaluations. Grant recipients are required to submit a final evaluation and/or MIS plan prior to accessing funding for these activities. See page 60 regarding Human Subject Testing and Information Technology requirements.

Applicants must identify the independent evaluator who will assist the drug court in conducting the process and outcome evaluations. If the evaluator has not been identified, describe the steps the drug court will take to solicit and select the evaluator, and how the drug court will work with the evaluator to design the data collection process, collect and maintain the data, analyze the data, and prepare evaluation reports. Following is some specific guidance regarding information which must be included in this section of your application.

**MIS Plan**

- 1. Describe the methods planned for collecting, storing, and maintaining adequate data to support the drug court's operations as well as the process and outcome evaluations.

2. Describe the nature of the planned MIS, including staffing, hardware and software, standardized data collection forms, schedules of data entry, routine reports, quality assurance procedures, and statistical analysis capabilities.
3. Discuss how data related to court operations, individual participant characteristics and behaviors, and treatment services will be collected, maintained, and integrated into existing automated systems.
4. Discuss plans for data sharing agreements with treatment service providers and other agencies. Please note that all applicants are expected to adhere to applicable local, State, and Federal confidentiality guidelines and requirements regarding treatment program records.

**Process Evaluation.** The data collection plan must enable the drug court to summarize its basic operations and services delivery, client characteristics, and treatment outcomes.

1. Describe how the evaluation will include both qualitative and quantitative information.
2. Describe the minimum data set that will be used (see appendix D for suggestions) and how it will allow the drug court to describe the target population, the screening and assessment process, intake flow, sanctions and incentives, drug test results, in-program rearrests, number of status hearings, failure and completion rates, services delivered, and referrals made.
3. Provide information on how the MIS will be flexible enough to allow the evaluator to analyze the following by participant characteristics and other factors: program services received, drug test results, in-program rearrests, length of time in the program, sanctions and rewards, number of court hearings, and completion rates.
4. Describe the specific data elements to be collected and analyzed for the process evaluation, and how these data will be used for program operation and management.  
**The Drug Court Grantee Data Collection Survey (see appendix C) can be used as a starting point to identify these data elements. Appendix D (Process Evaluations and MIS) also contains useful information to guide the development of a proposed data collection plan.**
5. Describe how the process evaluation will assist the drug court in assessing the effectiveness of its operations and ability to meet its goals and objectives, and how the findings could be used to change and improve the court's operations.

The process plan should incorporate measurable program goals and objectives. Examples include number and type of target population screened and admitted, program completion rates, average time in program (or 1-year retention rates, cohort-based), percentage of drug tests that are negative, percentage of participants rearrested during program participation, amount and type of services received, and percentage of participants employed after 1 year.

**Outcome Evaluation.** A feasible plan for collecting and analyzing the impact of the drug court on 1-year post-program recidivism outcomes is required.



1. Describe the plan for collecting data on rearrests, reconviction, and/or reincarceration for a period of 1 year following drug court completion (or dropout). *Applicants are encouraged to consider the collection of recidivism data for longer than a 1-year post-program period. In addition, the identification of sources of data for other post-program outcomes (such as drug use, employment and earnings, health care, drug treatment participation, etc.) is strongly encouraged (but not required) and should be described if available.*
2. Describe the sources of data on rearrests and other outcome measures, and how these measures will be defined. It is recommended that individual rather than aggregate outcome data be collected and maintained. **The Drug Court Grantee Data Collection Survey (see appendix C) can be used as a starting point to identify these data elements.**
3. Identify and justify a comparison group for measuring the relative change in post-program recidivism outcome measures. The comparison group should be as similar as possible to the drug court participants.
4. Describe the procedures for collecting comparison group data on court processing, individual characteristics, rearrests, and other outcome measures if available.
5. Describe the specific data elements to be collected and analyzed for the outcome evaluation, and how these data will be used for program operation and management.
6. Describe how the outcome evaluation will assist the drug court in assessing the effectiveness of its operations, and how the findings could be used to change and improve the court's operations.
7. Describe the products expected from the evaluation.

**IMPORTANT NOTE:** If it is available, a copy of the consent form related to the collection of research data should be included with the application. If not please note that grant recipients will be required to submit it as a term and condition of their grant award. Applicants for implementation grants are not required to submit detailed final evaluation plans with this application. However, grant recipients will be required to submit evaluation plans to DCPO for approval prior to release of grant funds to support the evaluation component.

**IMPORTANT NOTE:** Refer to page 33 for instructions on formatting and page limits. Applications that do not adhere to these instructions will not be reviewed or considered for funding.

## ***2. Juvenile Drug Court Implementation Grants***

With the success of drug courts in reducing recidivism over the past 10 years, the application of drug court principles to populations in the juvenile courts was the next logical step. However, applying adult drug court principles to juvenile populations is not as easy as replicating the adult model. The circumstances and needs of youth and their families are different from those of adult criminal offenders. Accordingly, implementation of a drug court aimed at youth is significantly different than one aimed at adults.

Because juvenile drug courts are still relatively young in their development, much remains to be learned about how practitioners can intervene most effectively with juvenile populations in a drug court setting. What we have learned from the emergence of juvenile drug courts over the past several years is that when applying the drug court concept to juvenile populations, it is essential that the program incorporate individually tailored, comprehensive treatment that draws on the strengths and addresses the needs of participants and their families. In addition, engagement of the neighborhood and broader community is important to improving the likelihood of long-term success with the juvenile substance-abusing offender.

Juvenile drug courts are fundamentally different from their adult counterparts in part due to the complexity of working with youth and their families. In contrast to adults, youth often are not addicted to drugs in the traditional sense, although they may be dependent upon substances to function on a daily basis. They usually live within families, however defined, and are required to abide by laws specific to juveniles, such as the law requiring them to attend school. Furthermore, they are still developing the cognitive, social, and emotional skills necessary to lead a productive life, the outcome of which is significantly influenced by their families, peers, schools, and community relationships. They may use drugs for vastly different reasons than adults. These issues present unique challenges to practitioners as they design and implement a juvenile drug court program. Juvenile drug court programs must be developmentally based, culturally relevant, and gender specific (in terms of treatment services, skill building activities, incentives and consequences/sanctions, and length of program). Finally, an effective juvenile drug court not only must serve the juvenile but must serve his or her entire family. This requires a significant shift in focus from a single participant to a family and an expansion of the comprehensive continuum of care.

A jurisdiction planning or implementing a juvenile drug court should take very special care to recognize the differences between adult and juvenile drug courts.

Subject to the availability of an appropriation, Juvenile Drug Court Implementation Grants are available for up to a total of \$500,000 in Federal assistance and for up to 3 years. To assist in the review of applications, follow the outline provided in each section. The Program Design should describe the juvenile drug court project to be implemented and **must** include all of the following information.

- A. **Statement of the Problem** (½–1 page): Briefly describe the nature and scope of the problem in your jurisdiction that will be addressed by this project. The following information should be included in this section.
1. Provide the following breakdown of the arrestee population in your community:
    - a) Race/ethnicity.
    - b) Age.
    - c) Gender.
  2. Provide information on the specific substance abuse patterns among juvenile offenders in your community.
  3. Describe how these substance abuse patterns negatively affect your community.
  4. Describe the volume of arrests and crime patterns for juvenile offenders in the community.
  5. Describe the problems associated with how the court system currently operates.
  6. Discuss the problem with how cases involving substance abuse are handled in the existing system.
  7. Discuss the availability of resources in the community.
- B. **Goals and Objectives** (½–1 page): Provide a broad statement (goal) describing the desired results of the proposed project and identify the specific objectives to be achieved. Goals and objectives should be described using measurable performance indicators and should include a discussion on how the achievement of goals will be measured. When measuring success with juveniles, it is important to include indicators of recidivism and substance abuse relapse as well as indicators of improved individual and family functioning (e.g., a decrease in police calls to the residence or the completion of a vocational training program or school success). To begin the process of goal setting, it may be helpful to frame the issue by asking
1. How will the problems stated in section A be addressed by this program?
  2. What are the expected outcomes for the juvenile drug court?
  3. What impact will the program have on the juvenile, the family, and the community?
  4. How will we know that our goals have been achieved?
- C. **Description of the Juvenile Drug Court Program** (8–10 pages): Describe the juvenile drug court program that will be implemented. All of the following questions must be answered in the description.
1. **Screening and Eligibility**
    - a) Provide a description of the group of juveniles and their families who will be eligible to receive the services of the juvenile drug court.
    - b) What are the drugs of choice for the target population? What are the substance abuse patterns?
    - c) How, and by whom, are eligible juveniles identified, screened, and referred to the juvenile drug court?

- d) Describe how the juvenile drug court will ensure that (1) program participants are reflective of the race, ethnic diversity, age, and gender of the arrestee population and (2) the program is serving the target population as defined in your program design.
  - e) What is the average length of time, in days, between arrest and first appearance in the drug court? Explain the process.
  - f) What is the average length of time, in days, between arrest and enrollment in treatment?
  - g) Describe the monitoring process that will be implemented to ensure that the targeted capacity of the program is reached.
2. **Structure of the Juvenile Drug Court** (e.g., deferred prosecution, postadjudication, or a combination)
3. **Length of the Program**
4. **Case Processing**
- a) How does a case enter the juvenile drug court? Explain the process.
  - b) How is the case resolved, based on the juvenile's successful or unsuccessful completion of the juvenile drug court program?
5. **Assessment**
- a) Who and/or what agency is responsible for conducting a clinical assessment of the juvenile and his or her family?
  - b) What are the assessment criteria? What instruments are used to assess the strengths and needs of the juvenile and his or her family?
  - c) What is the time period for conducting an initial assessment?
  - d) What role does the family play in the assessment process?
  - e) Describe how the assessment is used to develop the treatment plan and to match treatment needs with treatment services.
6. **Service Delivery Plan** (Applicants are strongly encouraged to review appendix E for guidance on the components of a comprehensive treatment continuum.)

***Substance Abuse Treatment Services***

- a) Does the juvenile drug court use one treatment provider or multiple providers?
- b) Describe the treatment provider(s) (e.g., public health organization, private nonprofit, for-profit).
- c) Describe the treatment provider's ability to provide developmentally-based services to juveniles and to provide services to their families.
- d) How do the treatment providers exchange information about a client's progress with members of the juvenile drug court team?

- e) Describe the individualized treatment plan that is developed for each client and his or her family that addresses the client's strengths and needs. How often is this plan reviewed and/or revised?
- f) Describe how the treatment services will serve clients from different cultures in the community.
- g) Is the ethnicity of the treatment staff compatible with the target population?
- h) Describe the gender- and age-specific treatment available.
- i) Describe in detail the treatment protocol (e.g., phase structure, criteria for progressing through the program, frequency and intensity of treatment services).
- j) Do treatment services include (and, if so, how frequently)
  - Group counseling sessions?
  - Individual counseling sessions?
  - Family counseling sessions?
- k) Describe how the program addresses anger management, violence prevention, victimization issues, and values formation as part of the program.
- l) Describe how the family will be engaged to participate in the juvenile's substance abuse treatment plan and services they will receive.
- m) Can a family member be placed into a treatment program if needed? Describe the authority and process.
- n) Describe the services available to the family.

#### ***Aftercare/Continuing Care Services***

- a) Who is responsible for working with clients to develop their aftercare/continuing care plans? What is the client's role in developing the plan?
- b) Describe the specific aftercare services available to the clients.
- c) Describe the timeframe that services are available.
- d) Who is responsible for coordinating and managing the aftercare/continuing care services? Explain the process.

**Note:** The drug court statute requires that grant recipients provide aftercare/continuing care services.

#### ***Educational and Vocational Services***

- a) Describe how the juvenile drug court will meet the clients' needs.
- b) Describe the role of the local education system in relation to the juvenile drug court program.
- c) Describe the role of the local education community with the drug court.

***Primary and Mental Health Care Services***

- a) To what extent are community resources available, and being leveraged by the juvenile drug court, to assist in the provision of primary and mental health care services?
- b) Describe how the juvenile drug court will meet these needs for the juvenile and the family.
- c) Describe the role of the local medical and mental health community with the juvenile drug court program.

***Collateral Services***

- a) Who is responsible for working with juveniles to identify their collateral services needs and to ensure that these needs are met?
- b) To what extent are community resources available, and being leveraged by the juvenile drug court, to assist in the provision of collateral services?
- c) Describe the relationship the court has established to meet the collateral service needs of the clients. Collateral services may include, but are not limited to, the following:
  - Public housing.
  - Transportation.
  - Literacy programs.
  - Mentoring programs.
  - Parks and recreation programs.
  - Community service.
  - Family case conferencing.
  - Job preparation.

**7. Case Management**

- a) Who is responsible for providing case management?
- b) How is case management defined?
- c) What services are provided?
- d) How frequently are cases monitored?
- e) What is the approximate caseload per case manager?
- f) Does case management include visits to the home?

**8. Judicial Supervision**

- a) Does the juvenile drug court team meet prior to regularly scheduled status hearings to review and discuss the progress of juveniles and their families? If not, how is this information provided to the judge and communicated to the team?

- b) How frequently does the juvenile appear before the judge? Is the family required to attend?
- c) Who, other than the judge and the juvenile, participates in the status hearings (e.g., prosecutor, defense attorney, probation officers, treatment counselors)? What are their roles?
- d) Are the status hearings scheduled for a time when the juvenile and the family can attend?

**9. Drug Testing**

- a) How frequently are clients tested for drug use?
- b) Who is responsible for administering the drug tests?
- c) Explain the randomization process.
- d) Explain the process/procedures used to guard against tampering and adulteration.
- e) Can the family members be tested for drug use?
- f) What is the turnaround time for the results?
- g) What drugs will be tested for? Explain the rationale for determining which drugs will be tested for.

**10. Incentives and Sanctions**

- a) What are the graduated incentives and sanctions used in the program?
- b) What are the guidelines for applying sanctions and incentives?
- c) How soon after an action (positive or negative) does the client receive the incentive or sanction?

**11. Graduation Requirements** (Provide details about the requirements for sobriety, employment, education, and life skills.)

**12. Expulsion Criteria** (What are the circumstances that cause a client to be terminated from the program?)

**13. Describe the community linkages** that have been or will be established to support the program. (Community agencies and organizations **may include, but are not limited to:** bar associations, Boys and Girls Clubs, businesses, civic groups, community foundations, faith organizations, health and mental health agencies, hospitals, media outlets, social service agencies, universities/colleges, and Urban League.)

**D. Roles and Responsibilities of the Juvenile Drug Court Team** (1–2 pages): Identify each member of the juvenile drug court team and describe his or her role and responsibilities. Also describe the mechanisms that have been, or will be, established to ensure effective communication and coordination among the team. The seven key juvenile drug court team members must include a judge, prosecutor, defense attorney, treatment provider, school representative, researcher/ evaluator/management information specialist, and juvenile drug court coordinator.

- E. **Evaluation and Management Information System Plan** (8–12 pages): Applicants are **required** to conduct both a **process and an outcome evaluation**, and to collect and maintain the key data necessary to support both types of evaluations. Grant recipients are required to submit a final evaluation and/or MIS plan prior to accessing funding for these activities. See page 60 regarding Human Subject Testing and Information Technology requirements.

Applicants must identify the independent evaluator who will assist the drug court in conducting the process and outcome evaluations. If the evaluator has not been identified, describe the steps the drug court will take to solicit and select the evaluator, and how the drug court will work with the evaluator to design the data collection process, collect and maintain the data, analyze the data, and prepare evaluation reports.

Particular data collection issues pertain to juvenile drug court clients and must be considered and addressed in the grant application. Data collection issues include the need to collect school attendance and performance data, as well as data from the parents of drug court participants. Specific data elements to be collected from schools and families should be discussed. Strategies for obtaining such information should be described, including obtaining necessary data sharing agreements and consents and maintaining the confidentiality of juvenile records. All applicants are expected to adhere to applicable local, State, and Federal confidentiality guidelines and requirements for the collection of juvenile records. Following is some specific guidance regarding information which must be included in this section of your application.

#### **MIS Plan**

1. Describe the methods planned for collecting, storing, and maintaining adequate data to support the drug court's operations as well as the process and outcome evaluations.
2. Describe the nature of the planned MIS, including staffing, hardware and software, standardized data collection forms, schedules of data entry, routine reports, quality assurance procedures, and statistical analysis capabilities.
3. Discuss how data related to court operations, individual participant characteristics and behaviors, and treatment services will be collected, maintained, and integrated into existing automated systems.
4. Discuss plans for data sharing agreements with treatment service providers and other agencies. Please note that all applicants are expected to adhere to applicable local, State, and Federal confidentiality guidelines and requirements regarding treatment program records.

**Process Evaluation.** The data collection plan must enable the drug court to summarize its basic operations and services delivery, client characteristics, and treatment outcomes.

1. Describe how the evaluation will include both qualitative and quantitative information.
2. Describe the minimum data set that will be used (see appendix D for suggestions) and how it will allow the drug court to describe the target population, the screening and



assessment process, intake flow, sanctions and incentives, drug test results, in-program rearrests, number of status hearings, failure and completion rates, services delivered, and referrals made.

3. Provide information on how the MIS will be flexible enough to allow the evaluator to analyze the following by participant characteristics and other factors: program services received, drug test results, in-program rearrests, length of time in the program, sanctions and rewards, number of court hearings, and completion rates.
4. Describe the specific data elements to be collected and analyzed for the process evaluation, and how these data will be used for program operation and management. **The Drug Court Grantee Data Collection Survey (see appendix C) can be used as a starting point to identify these data elements. Appendix D (Process Evaluations and MIS) also contains useful information to guide the development of a proposed data collection plan.**
5. Describe how the process evaluation will assist the drug court in assessing the effectiveness of its operations and ability to meet its goals and objectives, and how the findings could be used to change and improve the court's operations.

The process plan should incorporate measurable program goals and objectives. Examples include number and type of target population screened and admitted, program completion rates, average time in program (or 1-year retention rates, cohort-based), percentage of drug tests that are negative, percentage of participants rearrests during program participation, amount and type of services received, and percentage of participants employed after 1 year.

**Outcome Evaluation.** A feasible plan for collecting and analyzing the impact of the drug court on 1-year post-program recidivism outcomes is required.

1. Describe the plan for collecting data on rearrests, reconviction, and/or reincarceration for a period of 1 year following drug court completion (or dropout). *Applicants are encouraged to consider the collection of recidivism data for longer than a 1-year post-program period. In addition, the identification of sources of data for other post-program outcomes (such as drug use, employment and earnings, health care, drug treatment participation, etc.) is strongly encouraged (but not required) and should be described if available.*
2. Describe the sources of data on rearrests and other outcome measures, and how these measures will be defined. It is recommended that individual rather than aggregate outcome data be collected and maintained. **The Drug Court Grantee Data Collection Survey (see appendix C) can be used as a starting point to identify these data elements.**
3. Identify and justify a comparison group for measuring the relative change in post-program recidivism outcome measures. The comparison group should be as similar as possible to the drug court participants.
4. Describe the procedures for collecting comparison group data on court processing, individual characteristics, rearrests, and other outcome measures if available.

5. Describe the specific data elements to be collected and analyzed for the outcome evaluation, and how these data will be used for program operation and management.
6. Describe how the outcome evaluation will assist the drug court in assessing the effectiveness of its operations, and how the findings could be used to change and improve the court's operations.
7. Describe the products expected from the evaluation.

**NOTE:** If they are available, a copy of the forms related to the collection of research data should be included with the application. If this item is not available, please note that grant recipients will be required to submit them as a term and condition of their grant award. Applicants for implementation grants are not required to submit detailed final evaluation plans with this application.

However, grant recipients will be required to submit evaluation plans to DCPO for approval prior to release of grant funds. Juvenile consent and parental consent forms related both to drug court participation and collection of research data should be included with the application.

**IMPORTANT NOTE:** Refer to page 33 for instructions on formatting and page limits. Applications that do not adhere to these instructions will not be reviewed or considered for funding.

### ***3. Single Jurisdiction Drug Court Enhancement Grants***

Subject to the availability of an appropriation, Single Jurisdiction Enhancement Grants are available for up to \$300,000 in Federal assistance and for up to 2 years. The Program Design must fully describe the type of enhancement(s) requested.

**If the jurisdiction requesting funds in this category has already received a DCPO grant, it must demonstrate a compelling need for additional Federal funding, provide a sound explanation as to why State and/or local funds will not support this initiative, and provide a summary of efforts to achieve this goal. In addition, a clear explanation about when State and/or local funds will be available for this endeavor must be provided.**

- A. **Overview of the Drug Court** (3–4 pages): Provide an overview of the current program that demonstrates how the drug court has achieved its goals and objectives. The overview must include
1. The impact the program has had on the community.
  2. How the current evaluation findings have led to the type of enhancement requested.
  3. Statistical information on program success, including
    - Capacity of the program.
    - Retention rate.
    - Daily average number of clients enrolled.
    - Total clients, graduates, and terminations since the beginning of the program.
- B. **Description of the Type of Enhancement** (6–12 pages): An applicant may apply for **one or more** of the following types of drug court enhancements.
1. If the application is to **continue program operations**, provide the following information:
    - a) A full description of how the program will be continued.
    - b) The specific circumstances that necessitate continued Federal funding of the drug court program.
    - c) How the program would be in jeopardy without Federal financial assistance.
    - d) How clients will benefit from the continuation of the program.
    - e) A detailed plan for how the drug court will be sustained after Federal funding ends.
  2. If the application is to **enhance the resources available to the drug court and/or provide additional services to drug court clients**, provide the following information:
    - a) The specific goals and objectives of the proposed enhancement.
    - b) Evaluation findings that justify the need for the additional resources and/or services.
    - c) The specific problems that will be addressed through the provision of additional resources and/or services.
    - d) An explanation of how these additional resources and/or services will benefit drug court clients.

3. If the application is to **develop training programs for drug court practitioners**, provide the following information:
  - a) A full description of the proposed training program.
  - b) Why Federal funds are needed to develop training programs.
  - c) The specific goals and objectives of the training(s).
  - d) The planned target audience.
  - e) How the training program(s) will be organized.
  - f) The intended impact of the training(s).
  - g) How the training program(s) will be evaluated.
  - h) The intended followup after the training event(s).
  - i) How the training program(s) will incorporate the 10 key components of a drug court (see the OJP publication *Defining Drug Courts: The Key Components*).
4. If the application requests funds for drug court practitioners to **attend training programs**, provide the following information:
  - a) The subject matter of the programs to be attended.
  - b) A list of the drug court team members who will attend the trainings.
  - c) How the trainings will benefit your drug court program.
  - d) The intended followup after the training.
5. If the application is to **conduct a process and/or outcome evaluation**, provide the following information:
  - a) The name of the independent evaluator who will work with the drug court to conduct the required process evaluation.
  - b) How the process evaluation will help the drug court assess how it is meeting its operational and administrative goals and how to adjust policies and procedures, if warranted.
  - c) The specific information that will be collected and analyzed as part of the process evaluation.
  - d) The specific data elements that will be collected.
  - e) How data will be collected for use in program operation and management.
  - f) The specific quantifiable goals that will be tracked and the method for measuring progress toward those goals. The Drug Court Grantee Data Collection Survey (see appendix C) should be used as a guide in identifying these data elements. (Applicants are strongly encouraged to review the Evaluation and Management Information System Plan component of the Implementation Grant category on page 38 and appendix D for guidance on evaluations and management information systems).

6. If the application is to **develop and implement an automated management information system**, provide the following information:
  - a) A full description of the proposed MIS.
  - b) Why the funds are needed.
  - c) What problem will be addressed.
  - d) How information is currently being collected and analyzed.
  - e) Who will have direct online access to the MIS.
  - f) Who will enter data into the MIS, how the MIS development will be organized, and who will be responsible for the project.
  - g) Whether the MIS development will be integrated into existing systems.
  - h) Whether and how the MIS development will expand existing capabilities.
  - i) A list of consultants or trainers.
  - j) A description of how the consultants or trainers will be used. Systems developed must be capable of collecting the data required for submission in the Drug Court Grantee Data Collection Survey (see appendix C) and supporting national evaluation activity (see appendix D).

**NOTE:** Grant recipients are required to submit a final evaluation and/or MIS plan prior to accessing funding for these activities. See page 60 regarding Human Subject Testing and Information Technology requirements.

**NOTE:** All applicants should submit any existing outside evaluation reports (unless the application is for an outside evaluation) as well as reports prepared and submitted by the evaluator. Please mail a copy of these reports to DCPO, 810 Seventh Street NW., Washington, DC 20531. These documents must be postmarked by **December 21, 2001**. Please indicate your GMS application number clearly on each report submitted.

**NOTE:** Please mail a copy of the Policy and Procedures Manual to DCPO, 810 Seventh Street NW., Washington, DC 20531. The manual must be postmarked by **December 21, 2001**. Include the GMS application number on the manual. If you have submitted a Policy and Procedures Manual as a grant recipient of the Drug Courts Program Office, you do not need to resubmit; indicate this on the Applicant Information Page.

**IMPORTANT NOTE:** Applicants applying for funds to conduct a process and/or outcome evaluation or to develop and implement an automated MIS must address special data collection and management issues. These issues include strategies for collecting uniform data elements across sites, how data will be shared across sites, how consistency of data definitions and data management will be addressed, and how difficulties related to different MIS, hardware, and software across sites will be overcome. Describe how operations and outcomes for different jurisdictions will be compared.

**IMPORTANT NOTE:** Refer to page 33 for instructions on formatting and page limits. Applications that do not adhere to these instructions will not be reviewed or considered for funding.

#### **4. Statewide Drug Court Enhancement Grants**

Subject to the availability of an appropriation, Statewide Enhancement Grants are available for up to a total of \$300,000 in Federal assistance and for up to 2 years. The Program Design must fully describe the enhancement(s) requested.

- A. **Description of the Drug Court Movement in the State** (3–4 pages): Identify the number of operational drug courts in the State, provide an overview of the evaluation findings, and provide assurance that each of these programs have incorporated the 10 key components set forth in the OJP publication *Defining Drug Courts: The Key Components* (see page 7).
- B. **Description of the Type of Enhancement** (6–12 pages): An applicant may apply for one or more of the following types of statewide enhancements.
  1. If the application is to **develop training programs for drug court practitioners**, provide the following information:
    - a) A full description of the proposed training program.
    - b) Why Federal funds are needed to develop training programs.
    - c) The specific goals and objectives of the training(s).
    - d) The planned target audience.
    - e) How the training program(s) will be organized.
    - f) The intended impact of the training(s).
    - g) How the training program(s) will be evaluated.
    - h) The intended followup after the training event(s).
    - i) How the training program(s) will incorporate the 10 key components of a drug court (see the OJP publication *Defining Drug Courts: The Key Components*).
  2. If the application requests funds for drug court practitioners to **attend training programs**, provide the following information:
    - a) The subject matter of the programs to be attended.
    - b) A list of the drug court team members who will attend the trainings.
    - c) How the trainings will benefit your drug court program.
    - d) The intended followup after the training event(s).
  3. If the application is to **conduct a process and/or outcome evaluation**, provide the following information:
    - a) The name of the independent evaluator who will work with the drug court to conduct the required process evaluation.
    - b) How the process evaluation will help the drug court assess how it is meeting its operational and administrative goals and how to adjust policies and procedures, if warranted.
    - c) The specific information that will be collected and analyzed as part of the process evaluation.

- d) The specific data elements that will be collected.
  - e) How data will be collected for use in program operation and management.
  - f) The specific quantifiable goals that will be tracked and the method for measuring progress toward those goals. The Drug Court Grantee Data Collection Survey (see appendix C) should be used as a guide in identifying these data elements. (Applicants are strongly encouraged to review the Evaluation and Management Information System Plan component of the Implementation Grant category on page 38 and appendix D for guidance on evaluations and management information systems).
4. If the application is to **develop and implement an automated management information system**, provide the following information:
- a) A full description of the proposed MIS.
  - b) Why the funds are needed.
  - c) What problem will be addressed.
  - d) How information is currently being collected and analyzed.
  - e) Who will have direct online access to the MIS.
  - f) Who will enter data into the MIS, how the MIS development will be organized, and who will be responsible for the project.
  - g) Whether the MIS development will be integrated into existing systems.
  - h) Whether and how the MIS development will expand existing capabilities.
  - i) A list of consultants or trainers.
  - j) A description of how the consultants or trainers will be used. Systems developed must be capable of collecting the data required for submission in the Drug Court Grantee Data Collection Survey (see appendix C) and supporting national evaluation activity (see appendix D)

**NOTE:** Grant recipients are required to submit a final evaluation and/or MIS plan prior to accessing funding for these activities. See page 60 regarding Human Subject Testing and Information Technology requirement.

**IMPORTANT NOTE:** Applicants applying for funds to conduct a process and/or outcome evaluation or to develop and implement an automated MIS must address special data collection and management issues. These issues include strategies for collecting uniform data elements across sites, how data will be shared across sites, how consistency of data definitions and data management will be addressed, and how difficulties related to different MIS, hardware, and software across sites will be overcome. Describe how operations and outcomes for different jurisdictions will be compared.

**IMPORTANT NOTE:** Refer to page 33 for instructions on formatting and page limits. Applications that do not adhere to these instructions will not be reviewed or considered for funding.

## D. Time Task Plan

The fourth section of the Program Narrative is a Time Task Plan. As part of the Program Narrative, all applicants must submit a Time Task Plan for implementing the project to include a detailed time schedule. This plan must cover the entire grant period and include the following information.

1. The **goals** of the project. A goal is defined as the end toward which a program's efforts are directed. Goals can be presented as action statements indicating the ultimate purpose of a program. Goals must be realistic, quantifiable, and attainable.
2. The specific **objectives** and activities associated with each goal. An objective is defined as a specific effect, resulting from a program's activities, that must be achieved in pursuit of the program's ultimate goals.
3. The timeframes associated with each **activity**. An activity is defined as a service or function carried out by the program to achieve the stated objectives.
4. The **person(s) responsible** for ensuring that the activities are accomplished.

The following is a sample of a partial Time Task Plan.

<b>Goal #1</b> <b>Establish coordination among agencies involved in developing, implementing, and maintaining the drug court program.</b>		
Objectives	Activities/Timeframe	Person Responsible
Identify agencies and key representatives needed for a drug court program.	Establish roles and responsibilities for people involved in implementing the drug court program. March 1, 2001.	All invited agencies: judiciary, district attorney, defense bar, treatment agencies, court administrator, law enforcement, school administrator (for juvenile drug court).
Establish communications with key stakeholders from partner agencies.	Make initial contact with the drug court judge, assistant district attorney, defense attorney, drug court coordinator, and treatment provider (residential and outpatient). March 1, 2001. Subsequent meeting to follow. April 3, 2001.	Drug court coordinator will plan the initial meeting. The second meeting will be located at the outpatient treatment providers facility.
	Establish memorandum of understanding or agreements with each necessary agency. April 15, 2001.	Judge.
	Establish agreements with outside community groups for extra drug court activities. May 15, 2001.	Drug court coordinator.
	Plan and hold monthly administrative meetings with partner agencies. March 1, 2001, through end of project.	Steering Committee.



<b>Goal #2</b> <b>Construct the complete case processing plan from program entry to graduation/termination.</b>		
Objectives	Activities/Timeframe	Person Responsible
Have a complete plan for each client when they enter the program.	Construct the drug court program flow chart. April 10, 2001.	Drug court team.
Create the Policies and Procedures Manual (per grant requirement).	Include procedures of the program, from arrest to graduation/termination. August 30, 2001.	Drug court coordinator and team.
	Create role descriptions for each team member. August 30, 2001.	Drug court team.
	List graduation and termination criteria. September 1, 2001.	Drug court team.
	Circulate Policies and Procedures Manual to steering committee for review. June 1, 2001.	Judge.
	Submit Policies and Procedures Manual to DCPO per grant requirement. One hundred twenty days after receipt of grant.	Drug court team.

## **E. Applicant Certifications**

The fifth section of the Program Narrative is the Applicant Certifications. All applicants are required to provide written certification in response to each of the following 10 items. Please provide a statement for each item as part of the Program Narrative file.

### **1. Coordination of Federal Efforts**

Provide the following information:

- A. Information on any pending application(s) for Federal money for this or related efforts.
- B. An explanation of how the pending application would be coordinated with the funding sought by this application.

For each, include the project title, the Federal grantor agency, the Federal award amount, and a very brief description of the project's purpose and how the applicant plans to coordinate the project. This information is requested to encourage better coordination among Federal agencies in addressing State and local needs.

- C. Any active Federal grant award (from the U.S. Department of Justice, other Federal agency, or other entity) already supporting this or related efforts. Fax a copy of the awards to 202-354-4147 by 5 p.m. e.t. **January 4, 2002**. Include your GMS-assigned application number on all faxed documents.

"Related efforts" is defined as those efforts that

- Have the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants).
- Constitute another phase or component of the same program or project (e.g., to implement a planning effort funded by other Federal monies or to provide a substance abuse treatment or education component within a criminal justice project).
- Provide services of some kind (e.g., technical assistance, research, evaluation) to the program or project described in the application.
- Provide information identifying related State, local, or community initiatives that complement or will be coordinated with this application.

### **2. Coordination With State, Local, and Community-Based Initiatives**

Identify the following:

- A. Related State or local government or community-based initiatives that complement this application.
- B. Related State or local government or community-based initiatives that are coordinated with this application and how that coordination will be achieved.
- C. The impact this initiative will have on the drug court.

### **3. OJP-Sponsored Technical Assistance and Training**

Applicants [for implementation grants] **must** include a line item in the budget either for training, for technical assistance, or for members of the drug court team to visit an operational drug court. The DCPO Drug Court Training and Technical Assistance Program provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance is designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective drug court programs. (See page 91 for more information on the Drug Court Training and Technical Assistance Program.)

### **4. Current Inability To Fund and Intention To Fund After the Federal Assistance**

Explain the inability to fund the program adequately without Federal assistance. Applicants also must provide certification of the intention and capability of the jurisdiction to continue the program after the Federal funding.

### **5. Certification required by Title V of the Violent Crime Control and Law Enforcement Act of 1994, Pub. L. No. 103-322, 108 Stat. 1796 (September 13, 1994)**

- A. Applicants must certify that there has been appropriate consultation with all affected agencies and that there will be appropriate coordination with all affected agencies during the implementation of the program.

Specific examples of consultation and coordination, as well as the identities of the affected agencies, must be provided. For example, the drug court will coordinate with the Brownville Unitarian Church to provide counseling services to its clients.

- B. Applicants must certify that participating offenders will be supervised by one or more designated judges who has responsibility for the drug court program.

### **6. Treatment Providers**

Provide certification that all treatment programs and providers used in the drug court program are licensed, certified, or accredited by appropriate State government or professional agencies.

### **7. Violent Offenders**

Provide certification that violent offenders, as defined by Title V of Pub. L. No. 103-322 and 28 CFR section 93.3(d), will be excluded from drug court programs receiving funds under this program.

### **8. Supplanting Prohibition**

Provide certification that Federal funds will be used to supplement existing funds for program activities and will not replace (supplant) non-Federal funds that have been appropriated for the same purpose. Potential supplanting will be subject to monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from Federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

## **9. Human Subject Testing**

Indicate whether the project or activity proposed in your application includes research that may involve human subjects, as defined in 28 CFR Part 46.

The Department of Justice is a signatory to the Federal policy on protection of human subjects of research, the “Common Rule.” DOJ’s incorporation of the Common Rule is set forth in 28 CFR Part 46, Protection of Human Subjects, which requires that research involving human subjects be submitted to an independent review board for approval and that informed consent procedures be followed. The policies set forth in 28 CFR Part 46 apply to all research involving human subjects conducted, supported, or otherwise subject to regulation by any Federal department or agency that has adopted the Common Rule. Federal funds may not be expended for research involving human subjects unless the requirements of this policy have been satisfied if the research is not covered by an exemption set forth in 28 CFR section 46.101(b)(1).

If the evaluation is to include collection, analysis, or use of information identifiable to a private person, the applicant for funds must submit a Privacy Certificate to DCPO under 28 CFR section 22.23, which certifies that the applicant will maintain the confidentiality of the identifiable information, through the collection stage and thereafter, in accordance with 28 CFR Part 22 (“Confidentiality of Identifiable Research and Statistical Information”). In addition, Part 22 requires that when identifiable information is to be obtained from any person, he/she must be advised that compliance with the request for information is voluntary and may be terminated at any time and that the information will only be used or revealed for research purposes. [The definition of “private person” for purposes of 28 CFR Part 22 includes, in addition to individual persons in their private and official capacities, corporations, associations, partnerships, and private and public organizations but does not include agencies or departments of Federal, State, or local government.]

If the evaluation is to involve interaction or intervention (surveys, interviews, etc.) with human beings or collection, analysis, or use of identifiable private information, the applicant must also comply with 28 CFR Part 46 (“Protection of Human Subjects”) requirements. Before OJP funds may be used to fund such an activity, it must be documented that the research activity/data collection is exempt from the human subjects protections of Part 46 or has been reviewed and approved by an Institutional Review Board.

## **10. Information Technology**

The Office of Justice Programs encourages integration and interoperability of information technology (IT) systems between all justice agencies and across Federal, State, and local jurisdictional boundaries. IT systems include automated information systems used by each of the justice system components (law enforcement, courts, prosecution, defense, corrections, probation, and parole) in their internal day-to-day business and in communicating with each other. To support State and local justice integration and interoperability of these systems, OJP asked the Governor to designate a “point of contact” to provide information on IT plans and coordination in your State. State and local recipients of awards that will be used in whole or in part for information systems may be required by the awarding OJP bureau to communicate with this point of contact about their information technology plans. By increasing State and local communication when planning and

implementing information technology, OJP funds may be used to support interoperable, rather than isolated, information systems.

The name and address of your State information technology point of contact can be obtained by calling our customer service line at 1-800-421-6770 or by visiting the OJP Web site at [www.ojp.usdoj.gov](http://www.ojp.usdoj.gov).

## **F. Consent Form**

The final section of the Program Narrative is **only** for adult and juvenile drug court implementation and single jurisdiction enhancement grant applicants.

Provide a copy of the **Consent Form** that will be used to ensure patient confidentiality, as required by 42 U.S.C. section 290dd-2, and the regulations implementing these laws in 42 CFR part 2. For further information see *Drug Court Resource Series: Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations*, U.S. Department of Justice, 1999, NCJ 176977. The sample consent forms from this publication appear on pages 62–63.

## SAMPLE

### ***CONSENT FOR DISCLOSURE OF CONFIDENTIAL SUBSTANCE ABUSE INFORMATION: DRUG COURT REFERRAL***

I, defendant's name, hereby consent to communication between treatment program's name and Judge name of presiding judge, name of prosecuting attorney or prosecutor's office, name of defense attorney, the probation department of jurisdiction, (and/or other referring agency), (other).

The purpose of and need for this disclosure is to inform the court and other above-named parties of my eligibility and/or acceptability for substance abuse treatment services and my treatment attendance, prognosis, compliance, and progress in accordance with the drug court monitoring criteria.

Disclosure of this confidential information may be made only as necessary for and pertinent to hearings and/or reports concerning charges, docket number, indictment number.

I understand that this consent will remain in effect and cannot be revoked by me until there has been a formal and effective termination of my involvement with the drug court for the case named above, such as the discontinuation of all court (and/or, where relevant, probation) supervision upon my successful completion of the drug court requirements or upon sentencing for violating the terms of my drug court involvement (and/or, where relevant, probation).

I understand that any disclosure made is bound by Part 2 of Title 42 of the Code of Federal Regulations, which governs the confidentiality of substance abuse patient (or client) records, and that recipients of this information may redisclose it only in connection with their official duties.

Date

Signature of Defendant

Signature of parent, guardian or representative (if required)

## **QUALIFIED SERVICE ORGANIZATION AGREEMENT**

Between

PIONEER CLAIM MANAGEMENT and OSBORNE TREATMENT SERVICES, INC.

PIONEER CLAIM MANAGEMENT (PIONEER) and OSBORNE TREATMENT SERVICES, INC. (OSBORNE) hereby enter into a Qualified Service Organization Agreement whereby PIONEER agrees to provide liability insurance representation, including contracting for legal services, to OSBORNE in the matter of *Luis Martinez vs. 809 Realty Corp. and Osborne Treatment Services, Inc.* Furthermore, PIONEER

- 1) acknowledges that in receiving, storing, processing, or otherwise dealing with any information from OSBORNE about any client of OSBORNE, past or present, PIONEER and all of its agents and assigns are fully bound by the provisions of the Federal laws and regulations governing the Confidentiality of Drug and Alcohol Abuse Patient Records (*42 United States Code Section 290dd-2* and *42 Code of Federal Regulations Part 2*); and
- 2) undertakes to resist, in judicial proceedings if necessary, any efforts to obtain access to information pertaining to any OSBORNE client otherwise than as expressly provided for in the Federal confidentiality regulations (*42 CFR Part 2*).

Executed this day of \_\_\_\_\_, 1998

\_\_\_\_\_  
Signature of PIONEER Officer

\_\_\_\_\_  
Signature of OSBORNE Officer

\_\_\_\_\_  
Print Name of Signing Officer

\_\_\_\_\_  
Print Name of Signing Officer

\_\_\_\_\_  
Title of Signing Officer  
PIONEER CLAIM MANAGEMENT  
195 Lake Louise Marie Road  
Rock Hill, NY 12775

\_\_\_\_\_  
Title of Signing Officer  
OSBORNE TREATMENT SERVICES, INC.  
809 Westchester Avenue  
Bronx, NY 10455



### 3. Budget Detail Worksheet and Budget Narrative Attachments

The next step in the Application Process is the budget. The applicant must submit both a Budget Detail Worksheet and a Budget Narrative. The Budget Detail Worksheet provides the detailed computation for each budget item. The Budget Narrative justifies or explains each budget item and relates it to project activities. For guidance developing your drug court budget, applicants should pay careful attention to the Sample Drug Court Budget on page 68 and the list of Unallowable Costs on page 72. A blank Budget Detail Worksheet appears on page 73.

Applicants applying for an **implementation grant** are required to do the following:

1. Provide a Budget Detail Worksheet (as found on page 73), complete with a Budget Narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple year project, provide the following.
  - a) Complete Budget Detail Worksheet and Budget Narrative for year 1 of the project.
  - b) Complete Budget Detail Worksheet and Budget Narrative for year 2 of the project.
  - c) Complete Budget Detail Worksheet and Budget Narrative for year 3 of the project.
  - d) Year 1, year 2, and year 3 Budget Detail Worksheets must be uploaded to the Budget Detail Worksheet as one file. Similarly, year 1, year 2, and year 3 Budget Narratives must be uploaded to the Budget Narrative attachment as one file. Only the most current file uploaded as an attachment is saved as part of the application. If you do not assemble and attach year 1, year 2, and year 3 as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches year 1 as one file and subsequently attaches year 2 as a separate file, we will only receive year 2. Please note that in order for your application to be considered for funding all year 1, year 2, and year 3 Budget Detail Worksheets and Budget Narratives must be submitted.
2. Applicants are reminded that Federal funds allowable for this program will be 75 percent of the total project costs with a 25-percent match requirement. As required by statute, a portion of the match must be in cash. The term “portion” is not defined. Please refer to page 99 for more information on this match requirement. **Applicants must note clearly on the Budget Detail Worksheet the budget items that represent local match. For example, the individual items that represent local match may be indicated with an asterisk.**
3. The budget must be complete and reasonable. Consideration of the reasonableness of a budget will be based, in part, on an examination of the ratio of the number of clients to be served by the drug court to the amount of Federal funds requested.
4. It is imperative that the amount of Federal funds requested in box A under the “Estimated Funding” in GMS reflect the total amount of Federal funds over the entire 1-, 2-, or 3-year project period.
5. Similarly, the amount given in box B under “Estimated Funding” in GMS should reflect the entire 25-percent match requirement. Further, the Budget Detail Worksheets and Budget

Narratives for each year of the proposed project period must reflect the Federal request and the match amount.

6. Applicants **must** include a line item in the budget either for training, for technical assistance, or for members of the drug court team to visit an operational drug court. The DCPO Drug Court Training and Technical Assistance Program provides recipients of DCPO grants with assistance in a variety of areas. The training and technical assistance is designed to promote and support best practices in the development, implementation, evaluation, and institutionalization of effective drug court programs. (See page 91 for more information on the Drug Court Training and Technical Assistance Program.)
7. Applicants must include detailed requests for data collection and evaluation costs. The amount budgeted should be sufficient to accomplish the data collection and evaluation plans described in the application, including the preparation of research reports. Budgets should distinguish MIS-related from evaluation costs, and internal vs. external staff costs.

Applicants applying for a **Single Jurisdiction Enhancement Grant** or a **Statewide Enhancement Grant** are required to do the following:

1. Provide a Budget Detail Worksheet (as found on page 73), complete with a Budget Narrative that justifies or explains each budget item and relates it to project activities. If applying for a multiple-year project, provide the following:
  - a) Complete Budget Detail Worksheet and Budget Narrative for year 1 of the project.
  - b) Complete Budget Detail Worksheet and Budget Narrative for year 2 of the project.
  - c) Year 1 and year 2 Budget Detail Worksheets must be uploaded to the Budget Detail Worksheet as one file. Similarly, year 1 and 2 Budget Narratives must be uploaded to the Budget Narrative attachment as one file. Only the most current file uploaded as an attachment is saved as part of the application. If you do not assemble and attach year 1 and 2 as one file, we will only receive the last file that you attached. For example, if an applicant initially attaches year 1 as one file and subsequently attaches year 2 as a separate file, we will only receive year 2. Please note that in order for your application to be considered for funding all year 1 and year 2 Budget Detail Worksheets and Budget Narratives must be submitted.
2. Applicants are reminded that Federal funds allowable for this program will be 75 percent of the total project costs with a 25-percent match requirement. As required by statute, a portion of the match must be in cash. The term “portion” is not defined. Please refer to page 99 for more information on this match requirement. **Applicants must note clearly on the Budget Detail Worksheet the budget items that represent local match. For example, the individual items that represent local match may be indicated with an asterisk.**
3. The budget must be complete and reasonable.
4. It is imperative that the amount of Federal funds requested in box A under “Estimated Funding” in GMS reflect the total amount of Federal funds over the entire 1- or 2-year project period.

5. Similarly, the amount given in box B under “Estimated Funding” in GMS should reflect the entire 25-percent match requirement. Further, the Budget Detail Worksheets and Budget Narratives for each year of the proposed project period must reflect the Federal request and the match amount.
6. Applicants must include detailed requests for data collection and evaluation costs. The amount budgeted should be sufficient to accomplish the data collection and evaluation plans described in the application, including the preparation of research reports. Budgets should distinguish MIS-related from evaluation costs, and internal vs. external staff costs.

**IMPORTANT NOTE:** All implementation grant recipients’ access to second- and third-year funds will be contingent upon DCPO review and approval of the following:

1. Policies and Procedures Manual.
2. Time Task Plan, which has been updated and revised as needed.
3. A strategy that describes the jurisdiction’s plan for sustaining the drug court program after Federal financial assistance has ended.

## A. Sample Drug Court Budget

### ALLOWABLE COSTS

#### A. Personnel

Only personnel who work directly for the grantee should be included in this section. All other personnel should appear under the Consultants/Contracts category. (For example, if the court is the grantee, the drug court coordinator should be included in personnel, but the counselors for the treatment provider should be included in the contracts section.)

The previous policy that prohibited the use of Federal funds for the following personnel has been rescinded:

- Judge.
- Prosecutor.
- Defense attorney.

Funds may be requested ONLY to support new positions dedicated to the drug court.

Personnel information in this section must include each employee's annual salary, either percent of time on the project or Full-Time Equivalent (FTE) (1 FTE = 100 percent), and the duration of the grant period.

#### Example

Name/Position	Computation	Cost
Jane Doe, Case Manager	100% time x \$20,000 annual salary x 1 year	\$20,000

#### B. Fringe Benefits

Fringe benefit costs should be provided for all allowable personnel listed in section A. The total percent of the fringe benefit rate must be shown, along with the breakdown of that percent.

#### Example

Name/Position	Computation	Cost
Jane Doe, Case Manager	27.85% fringe benefit rate x \$20,000 annual salary x 1 year	\$5,570

(Fringe Benefit Rate: FICA=6.2%; Medicare=1.45%; Unemployment=0.2%; Health Insurance=20%; Total=27.85%)

#### C. Travel

We encourage using DCPO funds for the team to travel to other drug courts, even if your drug court has been operational for a few years. Learning through direct observation and through

practitioner to practitioner dialogue is critical in the drug court field. Please remember, all travel must be preapproved by the program manager.

In addition, we encourage grant recipients to use DCPO funds to send a team to attend the annual drug court conference sponsored by the National Association of Drug Court Professionals. This is an excellent opportunity to learn new techniques and network with other drug court practitioners.

Grant recipients must follow their local travel regulations. If the grantee does not have local travel regulations, itemized on the Budget Detail Worksheet, Federal regulations would apply.

Funds in this category must be broken out. When locations of workshops and/or conferences are not known, applicants are asked to estimate travel costs. We recommend that applicants budget up to \$1,000 per person to attend each conference.

***Example***

<b>Purpose of Travel</b>	<b>Location</b>	<b>Item</b>	<b>Computation</b>	<b>Cost</b>
Training Workshop	Unknown	Airfare	\$600 x 6 people	\$3,600
		Hotel	\$100/night x 6 people x 3 nights	\$1,800
		Meals	\$40/day x 6 people x 4 days	\$960
		Ground transportation	\$20 x 6 people	\$120

**D. Equipment**

Only nonexpendable items should be listed in this category (expendable items should be listed under Supplies or Other Costs).

Federal funds may be used to purchase equipment when current equipment either does not exist or is unable to perform the necessary tasks required in drug court operations. Prior to requesting funds for equipment, applicants should confirm that there is a need and not just a desire for the newest technology and that equipment will be used by drug court personnel only.

Equipment must be used 100 percent of the time for drug court purposes.

It is sometimes difficult to break down equipment costs, but they should be itemized to the extent possible.

***Example***

<b>Item</b>	<b>Computation</b>	<b>Cost</b>
Computer	\$850	\$850

### E. Supplies

It is important to distinguish between supplies and equipment—the general rule of thumb is that supplies are expendable. Examples of expendable supplies include office supplies and drug tests.

#### *Example*

Supply Item	Computation	Cost
Instant Urine Drug Test Kits	\$330/box x 3 boxes per year x 1 year	\$990
Office Supplies (pens, copy paper, staples, tape, print cartridges, desk calendars, binders)	\$200/month x 12 months	\$2,400

### F. Construction

Construction is not an allowable expenditure. Minor repairs or renovations may be allowable. The DCPO director must approve all renovations.

### G. Consultants/Contracts

Generally, this category includes costs for treatment, collateral services, and evaluation activities.

Consultant fees in excess of \$450 per day require additional justification and approval by the Drug Courts Program Office.

The grantee should always follow local guidelines for sole source procurement. Contracts of more than \$100,000 awarded without competition (regardless of whether it is Federal or match funds) require a sole source justification and approval prior to the awarding of such contracts.

#### *Example*

Name of Consultant	Service Provided	Computation	Cost
Public Health Lab	Urine screens	\$5/each x 12 months x 100 screens/month	\$6,000

### H. Other Costs

This category may include rent, telephone costs, and anything else that is not classified as supplies or equipment. These costs must be new and directly related to the drug court program.

#### *Example*

Description	Computation	Cost
Telephone Service	\$260/month x 12 months	\$3,120
Technical Assistance	\$1,000 x 1 year	\$1,000

### I. Indirect Costs

The grantee must have an approved Federal indirect cost rate. The indirect cost rate is issued by the grantee's cognizant agency; if OJP is the cognizant agency, the Office of the Comptroller will

negotiate an indirect cost rate with the grantee. Local units of government that do not have a federally approved rate may apply an agency-established indirect cost rate. The governmental unit must, upon request, make available for review documentation supporting the rate.

## **J. Budget Summary**

The Federal, match, and total amount must be shown for each category.

**IMPORTANT:** Check all calculations and totals before sending the budget to the Office of the Comptroller.

### *Example*

Category	Federal	Local	Total
A. Personnel			
B. Fringe Benefits			
C. Travel			
D. Equipment			
E. Supplies			
F. Construction			
G. Consultants/Contracts			
H. Other			
<b>Total Direct Costs</b>			
I. Indirect Costs			
<b>TOTAL PROJECT COSTS</b>			
Federal Request			
Non-Federal Amount			

## **B. Unallowable Costs**

Generally, the following are unallowable:

- Firearms.
- Food.
- Grant writing expenses.
- Drug dogs.
- Law enforcement equipment (body armor, handcuffs, billy clubs, pepper spray).
- Electronic monitoring.



**A. Personnel:** List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

**Name/Position**

## Computation

## Cost

**TOTAL** \_\_\_\_\_

**B. Fringe Benefits:** Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

**Name/Position**

## Computation

## Cost

**TOTAL****Total Personnel & Fringe Benefits** \_\_\_\_\_

**C. Travel:** Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., 6 people to 3-day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

Purpose of Travel	Location	Item	Computation	Cost
-------------------	----------	------	-------------	------

**TOTAL** \_\_\_\_\_

**D. Equipment:** List non-expendable items that are to be purchased. (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item	Computation	Cost
------	-------------	------

**TOTAL** \_\_\_\_\_

**E. Supplies:** List items by type (office supplies, postage, training materials, copying paper, and other expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items	Computation	Cost
--------------	-------------	------

TOTAL \_\_\_\_\_

**F. Construction:** As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

Purpose	Description of Work	Cost
---------	---------------------	------

TOTAL \_\_\_\_\_

---

**G. Consultants/Contracts:** Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

**Consultant Fees:** For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

Name of Consultant	Service Provided	Computation	Cost
--------------------	------------------	-------------	------

---

Subtotal \_\_\_\_\_

**Consultant Expenses:** List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging, etc.)

Item	Location	Computation	Cost
------	----------	-------------	------

---

Subtotal \_\_\_\_\_

**Contracts:** Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

Item	Cost
------	------

---

Subtotal \_\_\_\_\_

**TOTAL** \_\_\_\_\_

**H. Other Costs:** List items (e.g., rent, reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

Description	Computation	Cost
-------------	-------------	------

TOTAL \_\_\_\_\_

**I. Indirect Costs:** Indirect costs are allowed only if the applicant has a Federally approved indirect cost rate. A copy of the rate approval, (a fully executed, negotiated agreement), must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant Federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

Description	Computation	Cost
-------------	-------------	------

TOTAL \_\_\_\_\_

**Budget Summary:** When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

Budget Category	Amount
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	_____
TOTAL PROJECT COSTS	_____

Federal Request \_\_\_\_\_

Non-Federal Amount \_\_\_\_\_

## **4. Assurances and Certifications**

The next step in the application process is the Assurances.

Type the name, address, phone number, fax number, and e-mail address (if applicable) of the authorizing official on the Assurances (OJP Form 4000/3) and Certifications (OJP Form 4061/6) on the Assurance screen. The authorizing official must review the Assurances and Certifications forms in their entirety. Copies of these forms follow on pages 80–82. The authorizing official does not need to submit signed hard copies of these forms to DCPO.

## ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common Rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information as may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act if applicable.
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or give the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal Sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed in the Environmental protection Agency's (EPA-list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976. Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that had been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.
10. It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties, and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.
11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.
12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.
13. It will comply, and all its contractors will comply, with the nondiscrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans With Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C, D, E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.
14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.
15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.
16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

Signature

Date





U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
OFFICE OF THE COMPTROLLER

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all subrecipients shall certify and disclose accordingly.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510—

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a

public (Federal, State, or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

### 3. DRUG-FREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67 Sections 67.615 and 67.620—

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an on-going drug-free awareness program to inform employees about—

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will—

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted—

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check ☐ if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check ☐ if the State has elected to complete OJP Form 4061/7.

#### **DRUG-FREE WORKPLACE (GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620—

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

## 5. Letters of Support and Authorization Letters

If you are required to submit either a Letter of Support or an Authorization Letter as part of your application for funding, it must be submitted via fax. These items must be faxed to 202-354-4147 by 5 p.m. e.t. **January 4, 2002**. Be sure to include the application number that is assigned by GMS (i.e., 2001-Z001-MD-DC) on all faxed documents for identification purposes.

### Letters of Support

**Implementation Grant** applicants are required to submit a letter of support from each of the key drug court team members: judge, prosecutor, defense attorney, treatment provider, researcher/evaluator/management information specialist, drug court coordinator, and a school representative (if you are applying for a juvenile drug court). All letters of support should be written by the individuals who sign them and should include the following information:

1. An expression of support for the project.
2. Willingness to participate in development of the project.
3. Current role and responsibilities in the planning process.
4. Expected responsibilities and resources when the drug court is operational.
5. Approximate percentage of time that will be devoted to both the planning and operation of the drug court.
6. If Federal funding is requested to support new positions, how the positions will be maintained after Federal assistance ends.

**Single Jurisdiction Enhancement Grant** applicants are required to submit a letter of support from each of the key drug court team members: judge, prosecutor, defense attorney, treatment provider, researcher/evaluator/management information specialist, drug court coordinator, and a school representative (if you are applying for a juvenile drug court enhancement). All letters of support should be written by the individuals who signs them and should include the following information:

1. Current role and responsibilities in the drug court.
2. An expression of support for the project.
3. A statement as to why the enhancement is needed.
4. Current resources from the agency/organization that are devoted to the drug court.
5. Approximate percentage of time that is devoted to the operation of the drug court.
6. If Federal funding is requested to support new positions, how the positions will be maintained after Federal assistance ends.

**NOTE: Letters of support are not required for Statewide Enhancement Grants.**

## **Authorization Letters**

For the purposes of this application kit, eligible applicants are States, State courts, local courts, counties, other units of local government, and Indian tribal governments, acting directly or through agreement with other public or private entities. Definitions of eligible applicants are provided on page 97. All applicants must demonstrate that they have the management and financial capabilities to effectively plan and implement projects of the size and scope described in the application kit. Nonprofit and for-profit agencies are not eligible applicants.

For an application from a **subunit of government** (e.g., county probation department, district attorney's office, pretrial services agency) to be considered, it must be authorized as representing an eligible applicant (described above). For example, the county executive may designate the county probation or county district attorney's office as its representative for the purpose of application. A model authorization letter can be found on page 85.

## Sample Authorization Letter

Marilyn Roberts  
Director  
Drug Courts Program Office  
810 Seventh Street NW.  
Eighth Floor  
Washington, DC 20531

[current date]

RE: [drug court grant number, name of grant, and type of grant]

Dear Ms. Roberts:

As the [Chief Executive Officer or similar authority] for the [State or unit of local government], on behalf of [State or unit of local government], I hereby authorize [name of agency administering the grant] as the official representative of [State or unit of local government] authorized to apply to undertake a drug court program or project in whole or in part. This designation is made pursuant to the authority conferred upon me by Section 901 (c) of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC § 3791(c), and it is effective as of [date of original application].

Any additional correspondence concerning this drug court grant should be directed to [the agency administering the grant]. The appropriate contact person at that agency is [contact at agency administering the grant], who can be reached at [phone number].

Sincerely,

[name and title]

## **6. Policy and Procedures Manual**

**Single Jurisdiction Enhancement Grant** applicants must provide a copy of the Policy and Procedures Manual, postmarked by **December 21, 2001**, to the Drug Courts Program Office, 810 Seventh Street NW., Washington, DC 20531. The application number must appear on the manual. If you have previously submitted a Policy and Procedures Manual as a grant recipient of the Drug Courts Program Office, you do not need to resubmit, but you must reference this fact on your Applicant Information Page. **Applications without a Policy and Procedures Manual will not be considered for funding.**

---

# GENERAL INFORMATION

## **Drug Court Training and Technical Assistance Program**

The Drug Court Training and Technical Assistance Program has greatly expanded in the past 5 years and builds on the foundation of the previous training and technical programs. Although many courts and treatment providers are interested in the drug court concept, they have little experience with the rethinking and effort required to implement this approach to managing offenders. Additionally, court administrators and judges have difficulty identifying the questions to ask about program impact, as pointed out in the 1997 GAO report on drug courts. It is the philosophy of the DCPO that these issues can best be addressed through training and technical assistance to promote and support best practices in the development, implementation, evaluation, and institutionalization of drug courts. Technical assistance and training will be available to all grant recipients.

Based on the complexity and diversity of the drug court field, DCPO has developed eight initiatives under this program to meet the training and technical assistance needs of drug courts. The following is a brief summary of the initiatives.

### **I. Drug Court Clearinghouse**

The goals of this initiative are to

- A. Assist communities in the development of effective drug court teams, in the engagement of multiple systems, and in the design and development of drug courts that include all of the 10 key components of drug courts.
- B. Collect, analyze, and disseminate information about drug courts that will provide the drug court field with specific resources to strengthen their ability to operate effectively.
- C. Increase communication and sharing of information among drug courts.
- D. Provide comprehensive onsite technical assistance to grant recipients.

For further information contact:

#### **OJP Drug Court Clearinghouse and Technical Assistance Project**

The American University  
4400 Brandywine Street NW.  
Washington, DC 20016-8159  
202-885-2875  
[www.american.edu/justice](http://www.american.edu/justice)



## **II. Adult Drug Court Planning Workshops**

The goals of this initiative are to

- A. Assess the training needs of adult drug court personnel and develop training agendas that reflect state-of-the-art knowledge about adult drug courts.
- B. Teach and demonstrate the importance of the key components for adult drug courts.
- C. Strengthen the drug court team's capacity to work together, expand the team membership, foster practitioner-to-practitioner training, and provide maximum networking opportunities.

For further information contact:

**National Drug Court Institute**  
901 North Pitt Street, Suite 370  
Alexandria, VA 22314  
1-888-909-6324  
[www.ndci.org](http://www.ndci.org)

**The Justice Management Institute**  
1900 Grant Street, Suite 630  
Denver, CO 80203  
303-831-7564  
E-mail: [JMIDenver@aol.com](mailto:JMIDenver@aol.com)

## **III. Mentor Drug Court Network**

The goals of this initiative are to

- A. Foster the development of drug courts through the direct observation of existing drug courts and dialogue with drug court practitioners.
- B. Develop a mentor drug court network that coordinates visits to specially selected drug courts and develop training programs at the sites while minimizing the burden on the host drug courts.
- C. Assist communities in the development of effective drug court teams and in the development of an effective operational drug court that follows the 10 key components.

For further information contact:

**National Drug Court Institute**  
901 North Pitt Street, Suite 370  
Alexandria, VA 22314  
1-888-909-6324  
[www.ndci.org](http://www.ndci.org)

## **IV. Tribal Drug Court Training and Technical Assistance**

The goals of this initiative are to

- A. Assess the training needs of tribal drug courts and develop training agendas to assist Native American communities in developing and implementing effective tribal drug court programs that reduce recidivism and improve abstinence.
- B. Develop a training program for trainers and technical assistance providers to serve the Native American community.
- C. Develop curriculums that use specially trained faculty to train Native American teams to plan and implement drug courts that effectively fit into tribal justice systems and Native American communities.
- D. Develop a specialized technical assistance strategy for providing onsite technical assistance to Native American tribes that have attended the specialized drug court training programs.

For further information contact:

**Native American Alliance Foundation**

7312 South Garnett Road, Suite 335  
Broken Arrow, OK 74012  
918-461-2190

**Tribal Law and Policy Institute**

8235 Santa Monica Boulevard, Suite 205  
West Hollywood, CA 90046  
323-650-5467

## **V. Juvenile Drug Court Training and Technical Assistance**

The goals of this initiative are to

- A. Assess the training needs of juvenile drug court personnel and develop training agendas to assist communities in developing and implementing effective juvenile drug court programs that reduce recidivism and improve abstinence.
- B. Assist communities in developing effective juvenile drug court teams, engaging multiple systems, and designing and implementing juvenile drug courts.
- C. Develop curriculums that use specially trained faculty to train juvenile drug court teams to plan and implement drug courts.
- D. Develop a training program for trainers and technical assistance providers to serve the juvenile drug court community.

For further information contact:

**National Council of Juvenile and Family Court Judges**

P.O. Box 8970  
Reno, NV 89507  
775-784-1663  
[www.ncjfcj.unr.edu](http://www.ncjfcj.unr.edu)

## **VI. Evaluation and Management Information System Training and Technical Assistance**

The goals of this evaluation and MIS initiative are to

- A. Provide drug court programs with the specific resources to strengthen their capacity to collect the data necessary to effectively monitor and evaluate their drug court program.
- B. Provide the drug court field with a wide range of assistance in the development and execution of both process and impact evaluations.
- C. Provide the drug court field with a wide range of assistance in developing drug court management information systems.
- D. Provide specialized training on the development of drug court management information systems and evaluations.
- E. Develop innovative information sharing techniques for dissemination of information on drug court evaluations and MIS.
- F. Develop a needs assessment for training and technical assistance on MIS and evaluation.

For further information contact:

**SEARCH, Inc.**

7311 Greenhaven Drive, Suite 145  
Sacramento, CA 95831  
916-392-2550  
[www.search.org](http://www.search.org)

**The Center for Court Innovation**

351 West 54th Street  
New York, NY 10019  
212-373-8088  
[www.communityjustice.org](http://www.communityjustice.org)

## VII. National Drug Court Institute (NDCI)

The Office of National Drug Control Policy has transferred funding to DCPO for this initiative. The components of this initiative are

- A. **Education:** To provide comprehensive skills-based training to drug court practitioners. Areas include
  - 1. Adult and juvenile drug court judges.
  - 2. Adult and juvenile drug court coordinators.
  - 3. Drug court treatment providers.
  - 4. Drug court public defenders.
  - 5. Drug court prosecutors.
- B. **Research:** To support investigative projects aimed at the development of more effective drug court policies and procedures. Areas include
  - 1. Ethics and confidentiality.
  - 2. Drug court systems.
  - 3. Jail-based treatment.
  - 4. Prison-based treatment.
  - 5. Drug court case management standards.
  - 6. Regional research meetings.
  - 7. Standardization projects.
- C. **Scholarship:** To disseminate important drug court specific research, evaluations, and commentary. Areas include
  - 1. A semiannual publication designed to keep practitioners and policymakers abreast of new developments in the drug court field.
  - 2. Dissemination of scholastic articles.

For further information contact:

**National Drug Court Institute**  
901 North Pitt Street, Suite 370  
Alexandria, VA 22314  
1-888-909-6324  
[www.ndci.org](http://www.ndci.org)

## Definitions

**Drug court:** A specially designed court calendar or docket, the purposes of which are to achieve a reduction in recidivism and substance abuse among nonviolent substance-abusing offenders and to increase the offenders' likelihood of successful habilitation through early, continuous, and intense judicially supervised treatment, mandatory periodic drug testing, and use of appropriate sanctions and other habilitation services.

**Violent offender:** A person who either

- A. Is charged with or convicted of an offense during the course of which
  1. The person carried, possessed, or used a firearm or other dangerous weapon;
  2. There occurred the use of force against the person of another; or
  3. There occurred the death of, or serious bodily injury to, any person, without regard to whether any of the circumstances described above is an element of the offense or conduct of which or for which the person is charged or convicted; or
- B. Has one or more prior convictions of a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm.

**Grantee:** States, State courts, local courts, counties, other units of local government, or Indian tribal governments acting directly or through agreement with other public or private entities that receive funding under the drug court program.

**State:** Any State of the United States, the District of Columbia, the Commonwealth of Puerto Rico, the U.S. Virgin Islands, American Samoa, Guam, or the Northern Mariana Islands.

**Unit of local government:** Any city, county, township, town, borough, parish, fiscal court, village, or other general purpose political subdivision of a State; an Indian tribe that performs law enforcement functions as determined by the Secretary of the Interior; or, for the purpose of assistance eligibility, any agency of the District of Columbia government or the U.S. Government performing law enforcement functions in and for the District of Columbia and the Trust Territory of the Pacific Islands.

**Indian tribe:** A tribe, band, pueblo, nation, or other organized group or community of Indians, including any Alaska Native village or regional or village corporation (as defined in, or established pursuant to, the Alaska Native Claims Settlement Act [43 U.S.C. 1601 et seq.]), that is recognized as eligible for the special programs and services provided by the United States to Indians because of their special status as Indians.

**Eligible applicants:** For purposes of this application kit, eligible applicants are States, State courts, local courts, counties, and other units of local government and Indian tribal governments acting directly or through agreement with other public or private entities. All applicants must demonstrate

management and financial capabilities to effectively plan and implement projects of the size and scope described in this application kit. Nonprofit and for-profit agencies are not eligible applicants.

If a subunit of government (e.g., county probation department, district attorney's office, or pretrial services agency) wishes to apply, it must be designated by an eligible applicant (described above) as the authorized representative of that applicant for purposes of applying for this grant. For example, the county executive may designate the county probation or county district attorney's office as its representative for the purpose of applying for this grant. A model authorization letter may be found on page 85.

## Program Provisions

The following is for informational purposes only and relates to the programmatic provisions and requirements of the Office of Justice Programs and the Drug Courts Program Office.

### **A. Application for Federal Assistance (SF 424)**

The Application for Federal Assistance is a standard form used by most Federal agencies. This form contains 18 different items, all of which must be completed before your application is reviewed.

### **B. Assurances**

The applicant, by signing the SF 424, assures that it will comply with the requirements contained in the assurances in order to receive Federal funds under this program. It is the responsibility of the recipient of the Federal funds to fully understand and comply with these requirements. Failure to comply may result in the withholding of funds, termination of the award, or other sanctions.

### **C. Certification Regarding Lobbying; Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements**

#### **Lobbying**

The applicant and its subgrantees, contractors and subcontractors, will not use Federal funds for lobbying and will disclose any lobbying activities.

#### **Debarment**

The applicant and its principals have not been debarred or suspended from Federal benefits and/or no such proceedings have been initiated against them; have not been convicted of, indicted for, or criminally or civilly charged by a government entity for fraud, violation of antitrust statutes, embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; and have not had a public transaction terminated for cause or default.

#### **Drug-Free Workplace**

The applicant will or will continue to provide a drug-free workplace. Signing this form commits the applicant to compliance with the certification requirements under 28 CFR Part 69, New Restrictions on Lobbying, and 28 CFR Part 67, Government-Wide Debarment and Suspension (Nonprocurement) and Government-Wide Requirements for Drug-Free Workplace (Grants). The certification will be treated as a material representation of the fact upon which reliance will be placed by the U.S. Department of Justice in making awards.

### **D. Match Requirement**

The Federal share of a grant-funded project may not exceed 75 percent of the total project costs. At least 25 percent of the total project costs is a required match and must come from local sources. As required by statute, “cash” contributions must constitute a portion of the non-Federal share of the

grant. "Portion" is not defined in the statute. The remainder of the match may be in-kind. For example, if the request for Federal support is \$200,000, the minimum local match requirement would be \$66,667, making the total project budget \$266,667.

Within each budget category, the applicant must clearly delineate the individual items that are match. For example, individual items that represent local match may be indicated with an asterisk. A portion of the match must be cash. This is required by statute; the term "portion" is not defined.

The following formula may be used to calculate local match:

$$(\text{Federal Request} \div .75) \times .25 = \text{Local Match}$$

#### **E. Single Point of Contact Review**

Executive Order 12372 requires applicants from State and local units of government or other organizations providing services within a State to submit a copy of the application to the State Single Point of Contact, if one exists, and if this program has been selected for review by the State. Applicants must contact their State SPOCs to determine whether their programs have been selected for State review. The date that the application was sent to the SPOC or the reason such submission is not required should be entered in Block 16 on the Application for Federal Assistance (SF 424).

#### **F. Civil Rights Compliance**

All recipients of Federal grant funds are required to comply with nondiscrimination requirements contained in various Federal laws. In the event that a court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the finding to the Office of Civil Rights, Office of Justice Programs. All applicants should consult the Assurances required with the application funds to understand the applicable legal and administrative requirements.

#### **G. Suspension or Termination of Funding**

The Office of Justice Programs may suspend funding in whole or in part, terminate funding, or impose another sanction on a recipient for the following reasons:

- Failure to comply substantially with the requirements or statutory objectives of Title V of the Violent Crime Control and Law Enforcement Act of 1994, Pub. L. No. 103-322, 108 Stat. 1796 (September 13, 1994) and 28 CFR Part 93, and the program guidelines issued thereunder, or other provisions of Federal law.
- Failure to make satisfactory progress toward the goals or strategies set forth in this application.
- Failure to adhere to the requirements in the agreement, standard conditions, or special conditions.



- Proposing or implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding.
- Filing a false certification in this application or other report or document.
- Other good cause shown.

Before imposing sanctions, the Office of Justice Programs will provide reasonable notice to the recipient of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in U.S. Department of Justice regulations described in 28 CFR, Part 18.

#### **H. Reporting Requirements**

All recipients of grants awarded by the Drug Courts Program Office are required to submit the following reports: Financial Status Reports, Categorical Assistance Progress Reports, and the Drug Court Grantee Data Collection Survey. Additionally, recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organizationwide financial and compliance audit report. Refer to appendix C for more specific information on these reporting requirements.

---

# APPENDIXES

## Appendix A

Drug Courts Program Office  
Office of Justice Programs  
U.S. Department of Justice

### **FY 2002 APPLICANT WORKSHOPS REGISTRATION FORM**

Please accept my registration form to participate in the grant applicant workshops. I plan to attend the workshop in

\_\_\_\_\_ Washington, D.C., on November 13, 2001. (Registration required by November 10, 2001.)

\_\_\_\_\_ Albuquerque, New Mexico, on November 16, 2001. (Registration required by November 10, 2001.)

\_\_\_\_\_ San Francisco, California, on November 19, 2001. (Registration required by November 10, 2001.)

Name: \_\_\_\_\_

Title: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

City: \_\_\_\_\_ State: \_\_\_\_\_ ZIP: \_\_\_\_\_

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

Please complete and return this form to

Drug Court Applicant Workshops  
NCJRS  
2277 Research Boulevard, MS 4N  
Rockville, MD 20850  
Phone: 301-519-6736  
Fax: 301-519-5355

Or e-mail the requested information to  
[sibiebele@aspensys.com](mailto:sibiebele@aspensys.com)

## Appendix B

### Violent Offender Frequently Asked Questions

#### Background

Questions are pursuant to the definition of “violent offender” as stated in the statute and the Code of Federal Regulations. A “violent offender” is defined as a person who either

1. Is charged with or convicted of an offense, during the course of which offense or conduct
  - A. The person carried, possessed, or used a firearm or dangerous weapon;
  - B. There occurred the death of, or serious bodily injury to, any person; or
  - C. There occurred the use of force against the person of another, without regard to whether any of the circumstances described in subparagraph (A), (B), or (C) is an element of the offense or conduct of which or for which the person is charged or convicted; or
2. Has one or more prior convictions for a felony crime of violence involving the use or attempted use of force against a person with the intent to cause death or serious bodily harm, 42 U.S.C. § 3796ii et seq. Title V of the Violent Crime Control and Law Enforcement Act of 1994, Pub. L. No. 103-322, 108 Stat. 1796 (September 13, 1994); 28 CFR section 93.3(d).

#### Questions

1. **Is an offender eligible for the drug court program if he or she has *previously* been convicted of a *misdemeanor* offense related to threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon?**

The statute’s definition of violent offender specifically limits prior offenses that cause a person to be categorized as a “violent offender” to felony crimes of violence. If a person has a prior misdemeanor conviction, even though threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon occurred during the offense, the person is not a violent offender according to the statute. Therefore, the offender is eligible for the drug court program as long as his or her current offense does not fall within the violent offender definition.

2. **Is an offender eligible for the drug court program if he or she has a prior *felony arrest* (but not conviction) for an offense related to threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon?**

The statute’s definition of violent offender specifically limits prior offenses that cause a person to be categorized as a “violent offender” to felony *convictions*. Prior felony arrests are not included in this definition. If a person has a prior felony arrest, even though it involved threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon, the person is not a violent offender according to the statute. Therefore, the offender is eligible for the drug court program as long as his or her current offense does not fall within the violent offender definition.

**3. Is an offender eligible for the drug court program if a charge that would qualify as a violent offense according to the definition above is dropped or reduced to a nonviolent offense?**

If a charge is dropped or reduced to a nonviolent offense, the offender is eligible for the drug court program. Charges that have been dropped cannot be considered when assessing whether an offender falls under the violent offender definition. Reduced charges are subject to the violent offender definition. Therefore, if the reduced charge does not qualify as a violent offense, then the offender is eligible.

**4. Is an offender eligible for the drug court program if he or she has a juvenile adjudication for an offense related to threatened or actual use of force or use, possession, or carrying a firearm or dangerous weapon?**

The drug courts statute and the Code of Federal Regulations, Title V of the Violent Crime Control and Law Enforcement Act of 1994, Pub. No. 103-322, 108 Stat. 1796 (September 13, 1994) and 28 CFR section 93.3(d), do not set out different standards for juvenile offenders. Therefore, juvenile violent offenses are governed by the same standards as adult violent offenses.

Consequently, if the juvenile offender is currently charged with or convicted of an offense during the course of which threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon occurred, the juvenile will be categorized as a violent offender and is ineligible for drug court programs. In addition, if the juvenile offender has a prior felony conviction for an offense related to threatened or actual use of force or use, possession, or carrying of a firearm or dangerous weapon, the juvenile will be categorized as a violent offender and is ineligible for drug court programs.

**5. If violent offenders are admitted, inadvertently or otherwise, to the drug court program, is it possible for the OJP grant to be rescinded or canceled?**

The statute and the Code of Federal Regulations provide that if the Assistant Attorney General determines that one or more violent offenders are participating in a program receiving funding under this part, such funding shall be promptly suspended, pending the termination of participation by those persons deemed ineligible to participate under the statute, Title V of the Violent Crime Control and Law Enforcement Act of 1994, Pub. No. 103-322, 108 Stat. 1796 (September 13, 1994) and 28 CFR section 93.3(d).

If it is discovered that violent offenders inadvertently are participating in a drug court program, the federally funded portion of the program will be suspended pending the removal of the violent offenders from the program. If the program fails to remove the violent offenders, funding must be rescinded or canceled, because the statute provides that no violent offenders will be permitted to participate in a federally funded drug court program.

**6. Does the degree of violence within an offense affect eligibility?**

Under the specific situations set out by the statute, the degree of violence within a qualifying offense is irrelevant. If the offender commits a "violent offense" under the statute, he or she is ineligible to participate in a drug court program.

**7. Does the definition of “violent offender” include persons who legally use, possess, or carry a firearm or dangerous weapon?**

DCPO interprets the definition of “violent offender” as being restricted to persons who illegally use, possess, or carry a firearm or dangerous weapon. Therefore, offenders are not precluded from participation in a drug court for either

- a) Using a legally licensed firearm or dangerous weapon in a legally justifiable way, such as in circumstances of self-defense
- b) Possessing or carrying an otherwise legally licensed firearm or dangerous weapon.

**8. If a drug court client commits a violent crime, as defined by the statute, while in the program, must he or she be removed from the program? Does it matter if the new charge is a misdemeanor or a felony?**

Yes, any new violent charge, as defined by the statute, whether a misdemeanor or a felony, prohibits the client from further or continued participation in the DCPO-funded program. If and only if the violent charges are dropped or the client is found not guilty can the client re-enter the program.

**NOTE:** Violent offenders may be placed into a separate drug court track not funded by OJP/DCPO.

## Appendix C

### Drug Court Grantee Reporting Requirements

All recipients of Drug Courts Program Office grants are required to submit the following reports:

1. **Financial Status Reports (SF 269A):** Financial status reports (SF 269A) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted every quarter the award is active, even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package. Future awards and fund draw-downs will be withheld if financial status reports are delinquent.
2. **Categorical Assistance Progress Reports:** Recipients of funding are required to submit an initial and then semiannual progress report. The progress reports describe activities during the reporting period and the status or accomplishment of objectives as set forth in the approved application for funding. Progress reports must be submitted within 30 days after the end of the reporting periods, which are January 1 through June 30 and July 1 through December 31 for the life of the award. A final report, which provides a summary of progress toward achieving the goals and objectives of the award, significant results, and any products developed under the award, is due 120 days after the end date of the award. The Office of the Comptroller will provide a copy of this form in the initial award package.
3. **Drug Court Grantee Data Collection Survey:** To ensure that grant recipients are collecting critical information about their drug court programs for evaluation purposes and to assist in the national evaluation of drug courts, grant recipients that receive funds to implement or enhance a drug court are required to submit the Drug Court Grantee Data Collection Survey on a semiannual basis. The survey periods run January 1 through June 30 and July 1 through December 31. The surveys are due 60 days after the end of the report period; that is, no later than August 31 and February 28, respectively. These data will capture baseline information on both drug courts and defendants. NOTE: This is not a requirement for Statewide Drug Court Enhancement grant recipients.
4. **Single Audit Report:** Recipients who expend \$300,000 or more of Federal funds during their fiscal year are required to submit an organizationwide financial and compliance audit report. The audit must be performed in accordance with the U.S. General Accounting Office Government Auditing Standards. The audit report currently is due to the Federal Audit Clearinghouse no later than 9 months after the end of the recipient's fiscal year.



U.S. DEPARTMENT OF JUSTICE  
OFFICE OF JUSTICE PROGRAMS  
DRUG COURTS PROGRAM OFFICE  
WASHINGTON, D.C. 20531

## DRUG COURT GRANTEE DATA COLLECTION SURVEY

**DIRECTIONS:** As a Drug Courts Program Office discretionary grantee, you are required to complete this survey. This form must be completed on a semiannual basis and submitted with your progress reports due at the end of January and July of each year. Complete Section I and update only as necessary. Update Section II at the end of January and July each year. **If a grant is for multiple jurisdictions, each jurisdiction must complete the survey individually.**

### I. BASELINE INFORMATION

#### A. GENERAL INFORMATION

(A). REPORTING PERIOD MONTHS: January – June Year _____ July – December Year _____	8. TYPE OF DRUG COURT GRANT <input type="checkbox"/> Single Jurisdiction Implementation <input type="checkbox"/> Single Jurisdiction Enhancement <input type="checkbox"/> Multi-Jurisdictional Implementation <input type="checkbox"/> Multi-Jurisdictional Enhancement																								
(B). DRUG COURTS PROGRAM OFFICE GRANT NUMBER _____																									
(C). DATE SURVEY WAS COMPLETED _____	9. GRANT AWARD PERIOD _____ to _____																								
1. GRANTEE NAME ( <i>As it appears on Official DCPO Award document</i> )	10. DATE DRUG COURT PROGRAM STARTED																								
2. TITLE ( <i>Grantee</i> )	11. DATE STARTED WITH DCPO FUNDING ( <i>If different</i> )																								
3. ADDRESS ( <i>Grantee</i> )	12. AMOUNT OF GRANT AWARD																								
	13. NAMES AND POSITIONS OF KEY PERSONNEL																								
		4. TELEPHONE ( <i>Grantee</i> )																							
5. FAX ( <i>Grantee</i> )	14. SIZE OF JURISDICTION: ( <i>Population of county or city served by court</i> ). <i>Indicate the geographic jurisdiction served by the court.</i>  <table border="1"> <thead> <tr> <th></th> <th>Yes/No</th> <th>Name of Jurisdiction</th> <th>Population</th> </tr> </thead> <tbody> <tr> <td>State</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Multi-county</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>County</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>City</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Tribe</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </tbody> </table>		Yes/No	Name of Jurisdiction	Population	State	_____	_____	_____	Multi-county	_____	_____	_____	County	_____	_____	_____	City	_____	_____	_____	Tribe	_____	_____	_____
		Yes/No	Name of Jurisdiction	Population																					
State		_____	_____	_____																					
Multi-county	_____	_____	_____																						
County	_____	_____	_____																						
City	_____	_____	_____																						
Tribe	_____	_____	_____																						
6. E-MAIL ( <i>Grantee</i> )																									
7. NAME AND ADDRESS ( <i>Of person completing this form</i> ). ( <i>Please include Title and Telephone, Fax and E-Mail address</i> )																									

#### B. DRUG COURT INFORMATION

15. TYPE OF DRUG COURT ( <i>Check all that apply</i> )  <input type="checkbox"/> Adult <input type="checkbox"/> Juvenile <input type="checkbox"/> Felony <input type="checkbox"/> Misdemeanor	16. IN GENERAL, WHICH APPROACH DOES THE DRUG COURT FOLLOW? ( <i>Check one</i> )  <input type="checkbox"/> Deferred Prosecution: Adjudication is deferred and the defendant is diverted to the treatment program after being charged. <input type="checkbox"/> Postadjudication: Adjudication occurs, but the sentence is deferred or pronounced and the defendant enters the treatment program. <input type="checkbox"/> Other ( <i>Specify</i> )
---	---



<p>17. WHO IS ELIGIBLE TO PARTICIPATE IN THE DRUG COURT PROGRAM? <i>(Check all that apply)</i></p> <p> <input type="checkbox"/> Adult male  <input type="checkbox"/> Adult female  <input type="checkbox"/> Juveniles  <input type="checkbox"/> Nonviolent offenders  <input type="checkbox"/> Violent offenders <i>(Past or present)</i>  <input type="checkbox"/> Offenders with substance <i>(i.e. controlled or other addictive substances)</i> addiction  <input type="checkbox"/> Offenders without substance addiction  <input type="checkbox"/> First-time offenders  <input type="checkbox"/> Repeat offenders  <input type="checkbox"/> Probation violators         </p>	<p>21. ARE THE FOLLOWING GRADUATION REQUIREMENTS? <i>(If yes, provide the time period.)</i></p> <p>Number of months drug free _____</p> <p>Number of months without rearrests _____</p> <p>Number of months employed _____</p> <p>Other <i>(Specify)</i> _____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p> <p>_____</p>																																																															
<p>18. WHAT IS THE LENGTH OF THE PROGRAM?</p> <p>Number of months _____</p> <p><i>If actual average length to graduate is different, indicate (number of months)</i></p> <p>_____</p>	<p>22. SINCE THE PROGRAM BEGAN, WHAT IS THE TOTAL AMOUNT OF FUNDING FOR EACH OF THE FOLLOWING TYPES THAT THE PROGRAM HAS RECEIVED? <i>(Check all sources that apply after amount of funding.)</i></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;"></th> <th style="width: 15%; text-align: center;">Amount Received</th> <th style="width: 15%; text-align: center;">Year(s) Received</th> </tr> </thead> <tbody> <tr> <td colspan="3"><b>a. FEDERAL GOVERNMENT</b></td> </tr> <tr> <td><input type="checkbox"/> Violent Crime Control Act of 1997 <i>(Drug Courts Program Office)</i></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Local Law Enforcement Block Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Edward Byrne Memorial Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Comprehensive Communities Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Corrections Options Grant</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Center for Substance Abuse Treatment (CSAT) Substance Abuse Treatment and Treatment Block Grant, includes CSAT technical assistance</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> CSAT Criminal Justice Treatment Networks</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> CSAT Target Cities</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Medicaid</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/> Other federal government <i>(Please specify)</i></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>b. <input type="checkbox"/> State government</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>c. <input type="checkbox"/> Local government</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>d. <input type="checkbox"/> Private <i>(Grants/donations from foundations, businesses, charitable organizations)</i> Please list sources</td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td><input type="checkbox"/></td> <td>\$ _____</td> <td>_____</td> </tr> <tr> <td>e. <input type="checkbox"/> Participant fees actually collected</td> <td>\$ _____</td> <td>_____</td> </tr> </tbody> </table>		Amount Received	Year(s) Received	<b>a. FEDERAL GOVERNMENT</b>			<input type="checkbox"/> Violent Crime Control Act of 1997 <i>(Drug Courts Program Office)</i>	\$ _____	_____	<input type="checkbox"/> Local Law Enforcement Block Grant	\$ _____	_____	<input type="checkbox"/> Edward Byrne Memorial Grant	\$ _____	_____	<input type="checkbox"/> Comprehensive Communities Grant	\$ _____	_____	<input type="checkbox"/> Corrections Options Grant	\$ _____	_____	<input type="checkbox"/> Center for Substance Abuse Treatment (CSAT) Substance Abuse Treatment and Treatment Block Grant, includes CSAT technical assistance	\$ _____	_____	<input type="checkbox"/> CSAT Criminal Justice Treatment Networks	\$ _____	_____	<input type="checkbox"/> CSAT Target Cities	\$ _____	_____	<input type="checkbox"/> Medicaid	\$ _____	_____	<input type="checkbox"/> Other federal government <i>(Please specify)</i>	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	b. <input type="checkbox"/> State government	\$ _____	_____	c. <input type="checkbox"/> Local government	\$ _____	_____	d. <input type="checkbox"/> Private <i>(Grants/donations from foundations, businesses, charitable organizations)</i> Please list sources	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	<input type="checkbox"/>	\$ _____	_____	e. <input type="checkbox"/> Participant fees actually collected	\$ _____	_____
	Amount Received	Year(s) Received																																																														
<b>a. FEDERAL GOVERNMENT</b>																																																																
<input type="checkbox"/> Violent Crime Control Act of 1997 <i>(Drug Courts Program Office)</i>	\$ _____	_____																																																														
<input type="checkbox"/> Local Law Enforcement Block Grant	\$ _____	_____																																																														
<input type="checkbox"/> Edward Byrne Memorial Grant	\$ _____	_____																																																														
<input type="checkbox"/> Comprehensive Communities Grant	\$ _____	_____																																																														
<input type="checkbox"/> Corrections Options Grant	\$ _____	_____																																																														
<input type="checkbox"/> Center for Substance Abuse Treatment (CSAT) Substance Abuse Treatment and Treatment Block Grant, includes CSAT technical assistance	\$ _____	_____																																																														
<input type="checkbox"/> CSAT Criminal Justice Treatment Networks	\$ _____	_____																																																														
<input type="checkbox"/> CSAT Target Cities	\$ _____	_____																																																														
<input type="checkbox"/> Medicaid	\$ _____	_____																																																														
<input type="checkbox"/> Other federal government <i>(Please specify)</i>	\$ _____	_____																																																														
<input type="checkbox"/>	\$ _____	_____																																																														
<input type="checkbox"/>	\$ _____	_____																																																														
b. <input type="checkbox"/> State government	\$ _____	_____																																																														
c. <input type="checkbox"/> Local government	\$ _____	_____																																																														
d. <input type="checkbox"/> Private <i>(Grants/donations from foundations, businesses, charitable organizations)</i> Please list sources	\$ _____	_____																																																														
<input type="checkbox"/>	\$ _____	_____																																																														
<input type="checkbox"/>	\$ _____	_____																																																														
<input type="checkbox"/>	\$ _____	_____																																																														
e. <input type="checkbox"/> Participant fees actually collected	\$ _____	_____																																																														
<p>19. DOES THE DRUG COURT HAVE PHASES? <i>(If yes, list them and give the length of each phase.)</i></p> <p><input type="checkbox"/> No    <input type="checkbox"/> Yes</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Phase</th> <th style="width: 70%;">How Long</th> </tr> </thead> <tbody> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> <tr><td>_____</td><td>_____</td></tr> </tbody> </table>	Phase	How Long	_____	_____	_____	_____	_____	_____	_____	_____	_____	_____	<p>23. WHICH OF THE FOLLOWING STATEMENTS BEST DESCRIBES ANY FEES CHARGED TO PARTICIPANTS <i>(By the court or by any contractors providing services), EITHER CURRENTLY OR IN THE PAST?</i></p> <p><input type="checkbox"/> Participant fees are charged currently. <i>(Continue with Question 24)</i></p> <p><input type="checkbox"/> Participant fees were charged previously, but are not currently. <i>(Continue with Question 24)</i></p> <p><input type="checkbox"/> Participant fees have never been charged. <i>(Skip to Question 25)</i></p>																																																			
Phase	How Long																																																															
_____	_____																																																															
_____	_____																																																															
_____	_____																																																															
_____	_____																																																															
_____	_____																																																															
<p>20. SERVICES THAT ARE AVAILABLE TO DRUG COURT PARTICIPANTS <i>(Check list)</i></p> <table style="width: 100%; border-collapse: collapse;"> <tbody> <tr> <td><input type="checkbox"/> Detox</td> <td><input type="checkbox"/> Child care</td> </tr> <tr> <td><input type="checkbox"/> Day reporting center</td> <td><input type="checkbox"/> Family therapy/ services</td> </tr> <tr> <td><input type="checkbox"/> Outpatient</td> <td><input type="checkbox"/> Mental health</td> </tr> <tr> <td><input type="checkbox"/> Inpatient</td> <td><input type="checkbox"/> Individual counseling</td> </tr> <tr> <td><input type="checkbox"/> Academic/training schools</td> <td><input type="checkbox"/> Group counseling</td> </tr> <tr> <td><input type="checkbox"/> Job training</td> <td><input type="checkbox"/> Primary health care</td> </tr> <tr> <td><input type="checkbox"/> Employment services</td> <td><input type="checkbox"/> Housing</td> </tr> <tr> <td><input type="checkbox"/> Parenting classes</td> <td></td> </tr> </tbody> </table>	<input type="checkbox"/> Detox	<input type="checkbox"/> Child care	<input type="checkbox"/> Day reporting center	<input type="checkbox"/> Family therapy/ services	<input type="checkbox"/> Outpatient	<input type="checkbox"/> Mental health	<input type="checkbox"/> Inpatient	<input type="checkbox"/> Individual counseling	<input type="checkbox"/> Academic/training schools	<input type="checkbox"/> Group counseling	<input type="checkbox"/> Job training	<input type="checkbox"/> Primary health care	<input type="checkbox"/> Employment services	<input type="checkbox"/> Housing	<input type="checkbox"/> Parenting classes																																																	
<input type="checkbox"/> Detox	<input type="checkbox"/> Child care																																																															
<input type="checkbox"/> Day reporting center	<input type="checkbox"/> Family therapy/ services																																																															
<input type="checkbox"/> Outpatient	<input type="checkbox"/> Mental health																																																															
<input type="checkbox"/> Inpatient	<input type="checkbox"/> Individual counseling																																																															
<input type="checkbox"/> Academic/training schools	<input type="checkbox"/> Group counseling																																																															
<input type="checkbox"/> Job training	<input type="checkbox"/> Primary health care																																																															
<input type="checkbox"/> Employment services	<input type="checkbox"/> Housing																																																															
<input type="checkbox"/> Parenting classes																																																																

<p><b>24. WHAT IS/WAS THE PURPOSE AND AMOUNT OF EACH FEE CHARGED TO PARTICIPANTS?</b></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="text-align: left; width: 40%;">Description/purpose of fee</th> <th style="text-align: left; width: 20%;">Amount of fee</th> <th style="width: 40%;"></th> </tr> <tr> <td>_____</td> <td>\$ _____</td> <td></td> </tr> <tr> <td>_____</td> <td>\$ _____</td> <td></td> </tr> <tr> <td>_____</td> <td>\$ _____</td> <td></td> </tr> <tr> <td>_____</td> <td>\$ _____</td> <td></td> </tr> <tr> <td>_____</td> <td>\$ _____</td> <td></td> </tr> </table>	Description/purpose of fee	Amount of fee		_____	\$ _____		_____	\$ _____		_____	\$ _____		_____	\$ _____		_____	\$ _____		<p><b>25. HOW IS DRUG COURT DATA GATHERED AND COMPILED?</b></p> <p><input type="checkbox"/> Manually</p> <p><input type="checkbox"/> Automated</p> <p><input type="checkbox"/> Both</p>
Description/purpose of fee	Amount of fee																		
_____	\$ _____																		
_____	\$ _____																		
_____	\$ _____																		
_____	\$ _____																		
_____	\$ _____																		

**II. DRUG COURT PARTICIPANT/PROGRAM INFORMATION**

<p><b>26. NUMBER OF PARTICIPANTS:</b></p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p>	<p><b>29. FROM THE TIME THE PROGRAM BECAME OPERATIONAL TO THE PRESENT, FROM THE BEGINNING OF THE GRANT TO THE PRESENT, AND FOR THE CURRENT REPORTING PERIOD (If different) HOW MANY PEOPLE:</b></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 60%;"></th> <th style="text-align: center; width: 10%;">Since program start</th> <th style="text-align: center; width: 10%;">Since grant start</th> <th style="text-align: center; width: 20%;">For current reporting period</th> </tr> <tr> <td>a. Have been admitted to the drug court program?</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>b. Have completed the program?</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>c. Have failed to complete the program because they:</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>    (1.) Have been terminated?</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>    (2.) Have voluntarily withdrawn?</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>    (3.) Have died while in the program?</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>d. Are currently enrolled?</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> </table>		Since program start	Since grant start	For current reporting period	a. Have been admitted to the drug court program?	_____	_____	_____	b. Have completed the program?	_____	_____	_____	c. Have failed to complete the program because they:	_____	_____	_____	(1.) Have been terminated?	_____	_____	_____	(2.) Have voluntarily withdrawn?	_____	_____	_____	(3.) Have died while in the program?	_____	_____	_____	d. Are currently enrolled?	_____	_____	_____																																								
	Since program start	Since grant start	For current reporting period																																																																						
a. Have been admitted to the drug court program?	_____	_____	_____																																																																						
b. Have completed the program?	_____	_____	_____																																																																						
c. Have failed to complete the program because they:	_____	_____	_____																																																																						
(1.) Have been terminated?	_____	_____	_____																																																																						
(2.) Have voluntarily withdrawn?	_____	_____	_____																																																																						
(3.) Have died while in the program?	_____	_____	_____																																																																						
d. Are currently enrolled?	_____	_____	_____																																																																						
<p><b>27. TOTAL CAPACITY:</b></p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p>																																																																									
<p><b>28. NUMBER OF GRADUATES FROM THE DRUG COURT PROGRAM:</b></p> <p>From the start of the program _____</p> <p>From the start of the grant _____</p> <p>For current reporting period _____</p>																																																																									
<p><b>30. PROVIDE THE FOLLOWING DEMOGRAPHIC INFORMATION ABOUT PARTICIPANTS IN THE PROGRAM SINCE THE BEGINNING OF THE GRANT, SINCE THE BEGINNING OF THE PROGRAM, AND FOR THE CURRENT REPORTING PERIOD (If different).</b></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;"></th> <th style="text-align: center; width: 10%;">Since program start</th> <th style="text-align: center; width: 10%;">Since grant start</th> <th style="text-align: center; width: 20%;">For current reporting period</th> </tr> <tr> <td>Age 12–16</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Age 17–18</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Age 19–21</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Age 22–30</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Age 31–40</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Age 41 or over</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Number of males</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Number of females</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Number of drug-free babies born to participants</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> </table>		Since program start	Since grant start	For current reporting period	Age 12–16	_____	_____	_____	Age 17–18	_____	_____	_____	Age 19–21	_____	_____	_____	Age 22–30	_____	_____	_____	Age 31–40	_____	_____	_____	Age 41 or over	_____	_____	_____	Number of males	_____	_____	_____	Number of females	_____	_____	_____	Number of drug-free babies born to participants	_____	_____	_____	<p><b>31. PROVIDE THE NUMBER OF PARTICIPANTS OF THE FOLLOWING RACIAL OR ETHNIC DESCENT:</b></p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 20%;"></th> <th style="text-align: center; width: 10%;">Since program start</th> <th style="text-align: center; width: 10%;">Since grant start</th> <th style="text-align: center; width: 20%;">For current reporting period</th> </tr> <tr> <td>African American</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Hispanic/Latino</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Asian/Pacific Islander</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Native American</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Alaskan Native</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Caucasian</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> <tr> <td>Other</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> <td style="text-align: center;">_____</td> </tr> </table>		Since program start	Since grant start	For current reporting period	African American	_____	_____	_____	Hispanic/Latino	_____	_____	_____	Asian/Pacific Islander	_____	_____	_____	Native American	_____	_____	_____	Alaskan Native	_____	_____	_____	Caucasian	_____	_____	_____	Other	_____	_____	_____
	Since program start	Since grant start	For current reporting period																																																																						
Age 12–16	_____	_____	_____																																																																						
Age 17–18	_____	_____	_____																																																																						
Age 19–21	_____	_____	_____																																																																						
Age 22–30	_____	_____	_____																																																																						
Age 31–40	_____	_____	_____																																																																						
Age 41 or over	_____	_____	_____																																																																						
Number of males	_____	_____	_____																																																																						
Number of females	_____	_____	_____																																																																						
Number of drug-free babies born to participants	_____	_____	_____																																																																						
	Since program start	Since grant start	For current reporting period																																																																						
African American	_____	_____	_____																																																																						
Hispanic/Latino	_____	_____	_____																																																																						
Asian/Pacific Islander	_____	_____	_____																																																																						
Native American	_____	_____	_____																																																																						
Alaskan Native	_____	_____	_____																																																																						
Caucasian	_____	_____	_____																																																																						
Other	_____	_____	_____																																																																						

<p>32. HOW LONG DO YOU PLAN TO FOLLOW UP ON THE PROGRESS OF DRUG COURT PARTICIPANTS AFTER GRADUATION?</p> <p>6 months <input type="checkbox"/>      18 months <input type="checkbox"/>  12 months <input type="checkbox"/>      Other _____</p>	<p>38. NUMBER OF PARTICIPANTS ARRESTED OR CONVICTED AFTER GRADUATION:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr> <td>0–6 months after graduation:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>    Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>    Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>7–12 months after graduation:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>    Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>    Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>13–18 months after graduation:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>    Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>    Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>		Since program start	Since grant start	For current reporting period	0–6 months after graduation:				Drug offense	_____	_____	_____	Other nonviolent	_____	_____	_____	Violent offense	_____	_____	_____	Traffic offense:				Driving while under the influence	_____	_____	_____	Other (please describe)	_____	_____	_____	7–12 months after graduation:				Drug offense	_____	_____	_____	Other nonviolent	_____	_____	_____	Violent offense	_____	_____	_____	Traffic offense:				Driving while under the influence	_____	_____	_____	Other (please describe)	_____	_____	_____	13–18 months after graduation:				Drug offense	_____	_____	_____	Other nonviolent	_____	_____	_____	Violent offense	_____	_____	_____	Traffic offense:				Driving while under the influence	_____	_____	_____	Other (please describe)	_____	_____	_____
	Since program start	Since grant start	For current reporting period																																																																																						
0–6 months after graduation:																																																																																									
Drug offense	_____	_____	_____																																																																																						
Other nonviolent	_____	_____	_____																																																																																						
Violent offense	_____	_____	_____																																																																																						
Traffic offense:																																																																																									
Driving while under the influence	_____	_____	_____																																																																																						
Other (please describe)	_____	_____	_____																																																																																						
7–12 months after graduation:																																																																																									
Drug offense	_____	_____	_____																																																																																						
Other nonviolent	_____	_____	_____																																																																																						
Violent offense	_____	_____	_____																																																																																						
Traffic offense:																																																																																									
Driving while under the influence	_____	_____	_____																																																																																						
Other (please describe)	_____	_____	_____																																																																																						
13–18 months after graduation:																																																																																									
Drug offense	_____	_____	_____																																																																																						
Other nonviolent	_____	_____	_____																																																																																						
Violent offense	_____	_____	_____																																																																																						
Traffic offense:																																																																																									
Driving while under the influence	_____	_____	_____																																																																																						
Other (please describe)	_____	_____	_____																																																																																						
<p>33. NUMBER OF PROGRAM PARTICIPANTS WHO GAINED A GED OR VOCATIONAL TRAINING CREDENTIAL WHILE IN THE PROGRAM:</p> <p>From the start of the program _____  From the start of the grant _____  For current reporting period _____</p>																																																																																									
<p>34. NUMBER OF PROGRAM PARTICIPANTS EMPLOYED AT GRADUATION:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">Part-time (under 30 hrs/wk)</th> <th style="text-align: center;">Full-time (30+hrs/wk)</th> </tr> <tr> <td>From the start of the program</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>From the start of the grant</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>For current reporting period</td> <td>_____</td> <td>_____</td> </tr> </table>		Part-time (under 30 hrs/wk)	Full-time (30+hrs/wk)	From the start of the program	_____	_____	From the start of the grant	_____	_____	For current reporting period	_____	_____																																																																													
	Part-time (under 30 hrs/wk)	Full-time (30+hrs/wk)																																																																																							
From the start of the program	_____	_____																																																																																							
From the start of the grant	_____	_____																																																																																							
For current reporting period	_____	_____																																																																																							
<p>35. NUMBER OF PERSONS FOR WHOM BENCH WARRANTS WERE ISSUED, WHO HAVE NOT BEEN PICKED UP, AND HAVE BEEN IN BENCH WARRANT STATUS FOR OVER 60 DAYS.</p> <p>From the start of the program _____  From the start of the grant _____  For current reporting period _____</p>																																																																																									
<p>36. NUMBER OF PARTICIPANTS ARRESTED OR CONVICTED WHILE IN THE DRUG COURT PROGRAM:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">Since program start</th> <th style="text-align: center;">Since grant start</th> <th style="text-align: center;">For current reporting period</th> </tr> <tr> <td>Drug offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other nonviolent</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Violent offense</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Traffic offense:</td> <td></td> <td></td> <td></td> </tr> <tr> <td>    Driving while under the influence</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>    Other (please describe)</td> <td>_____</td> <td>_____</td> <td>_____</td> </tr> </table>		Since program start	Since grant start	For current reporting period	Drug offense	_____	_____	_____	Other nonviolent	_____	_____	_____	Violent offense	_____	_____	_____	Traffic offense:				Driving while under the influence	_____	_____	_____	Other (please describe)	_____	_____	_____																																																													
	Since program start	Since grant start	For current reporting period																																																																																						
Drug offense	_____	_____	_____																																																																																						
Other nonviolent	_____	_____	_____																																																																																						
Violent offense	_____	_____	_____																																																																																						
Traffic offense:																																																																																									
Driving while under the influence	_____	_____	_____																																																																																						
Other (please describe)	_____	_____	_____																																																																																						
<p>37. NUMBER OF CLIENTS WHO REENTERED THE DRUG COURT PROGRAM, AFTER COURT/SELF TERMINATION OR GRADUATION:</p> <p>From the start of the program _____  From the start of the grant _____  For current reporting period _____</p>	<p>39. NUMBER OF PARTICIPANTS WHO REMAIN DRUG FREE AFTER GRADUATION (If information is available):</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th></th> <th style="text-align: center;">Number of participants</th> <th style="text-align: center;">Point in time (days/months) after graduation during which data is collected</th> </tr> <tr> <td>From the start of the program</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>From the start of the grant</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>For current reporting period</td> <td>_____</td> <td>_____</td> </tr> </table>		Number of participants	Point in time (days/months) after graduation during which data is collected	From the start of the program	_____	_____	From the start of the grant	_____	_____	For current reporting period	_____	_____																																																																												
	Number of participants	Point in time (days/months) after graduation during which data is collected																																																																																							
From the start of the program	_____	_____																																																																																							
From the start of the grant	_____	_____																																																																																							
For current reporting period	_____	_____																																																																																							
<p>Public reporting burden for this collection of information is estimated to average 1.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspects of this collection of information, including suggestions for reducing this burden, to the Drug Courts Program Office, Office of Justice Programs, U.S. Department of Justice, 810 7th Street, NW, Washington, D.C. 20531; and to Public Use Reports Project, 1121-0190, Office of Information and Regulatory Affairs, Office of Management and Budget, Washington, D.C. 20503.</p>																																																																																									

## Appendix D

### Process Evaluations and Management Information Systems

Recipients of implementation grants are required to conduct a process evaluation of their drug court program. The process evaluation should be designed to assess the program's effectiveness in meeting its operational and administrative goals. Ideally, process evaluations should be conducted by an independent researcher, working in close collaboration with drug court program staff.

Process evaluations should document not only the history of program development and implementation, but also the specific elements of the program. A process evaluation supplements good internal management and monitoring, providing an independent and objective appraisal of operational performance. A good process evaluation will target problematic program areas and provide recommendations for improvement. Ideally, the following information should be collected and analyzed as part of a process evaluation.

**Target population:** What is the drug court's target population? To what extent is that population being reached, as evidenced by relevant characteristics of the drug court participants (e.g., current charge, prior record, nature and severity of substance abuse problem, race, age, and gender)? How do drug court participants compare to defendants not in drug court with respect to these characteristics?

**Screening and assessment:** What are the intake and assessment procedures? What screening and assessment instruments are used to identify offenders who are appropriate for the drug court program (e.g., Addiction Severity Index, Michigan Alcoholism Screening Test)? During each 6-month period of operation, how many offenders are deemed paper-eligible for the program? What are their characteristics? How many offenders undergo formal screening for the drug court program? What are their characteristics? How many offenders are accepted into the drug court program? How many are accepted but decline to participate? How many are rejected by the prosecutor? By the public defender? By the drug court judge? By the treatment provider? What are the characteristics of offenders who decline to participate, and who refuse?

**Case processing:** What point in the criminal justice process does the program intervene (e.g., pretrial, postconviction)?

**Program length:** How long is the program? Is it possible to complete early? What is the average length of stay in the program? What percentages of clients remain in the program for 1 month? For 3 months? For 6 months? 9? 12? Graduate? (Each of these percentages should be calculated only for those clients who had the opportunity to be in the program for that length of time.) What are the characteristics of clients in each of these categories?

**Urinalysis testing:** Who conducts urinalysis testing? How frequently are participants tested for specific types of drugs? Is the drug testing done randomly? Are drug tests observed? What percentages of *all drug tests* are positive for any drug? For marijuana? Cocaine? Heroin? Methamphetamine?

Other? What percentage of *clients* has at least one positive urine test? What percentages of clients test positive for marijuana? Cocaine? Heroin? Methamphetamine? Other? Specify the time period used for this calculation. Is testing for alcohol conducted on a routine basis? If so, what percentage of clients tests positive for alcohol?

**Treatment resources:** What treatment services are provided? Who provides the treatment? What specific treatment modalities are used? To what extent, and under what circumstances, does the drug court use residential treatment services? Are there any other service interventions provided (e.g., therapeutic community type, initial detoxification phase)? Are culture or gender specific groups used? Is aftercare provided? What does it consist of? How many units of each type of service are received by the clients? Compare by phase of treatment, and specify the time period used.

**Ancillary services:** What ancillary services are provided? Who coordinates the referral of services? How many referrals are made for each type of ancillary service. What percentage of clients actually received each type of service? Compare by phase of treatment, and specify the time period used.

**Sanctions and incentives:** What behavior is sanctioned in the program? What sanctions are used? What behavior is rewarded in the program? What incentives are used? Are sanctions and incentives applied uniformly? Specify the percentages of clients receiving each type of sanction and incentive. What is the average number of each type of sanction and incentive received for each client? Specify time period used in these calculations.

**Judicial supervision:** How often do defendants appear before the judge? What team members are involved in the status hearings? Are staffings held prior to court? What information is routinely available to the judges and other team members? In what format? What is the average number of status hearings held for each client in the first 3 months of the enrollment? First 6 months? First year? Per month of time in the program?

**Expulsion:** What are the expulsion criteria? What happens to defendants that fail the program?

**Graduation:** How does a defendant graduate from the program? Are charges dismissed upon graduation?

**Drug court team and program coordination:** Who makes up the drug court team? What are the roles and responsibilities of the team members (e.g., judge, prosecutor, defense attorney, treatment provider) in the drug court? What other agencies are linked to or involved with the drug court (e.g., pretrial services, probation, community mental health)? Who is in charge of coordinating all the agencies? How often does the team meet and what is discussed?

**Retention in program:** To what extent is the drug court successful in retaining participants in the program (and in treatment), as evidenced by the number of persons (a) accepted into the program; (b) graduated; (c) currently active (and length of time in program); and (d) terminated? Are reasons for termination consistent? What are the characteristics (demographics, type of drug problem, charge, prior criminal record, social indicators, health) of clients who graduate from the

program? Who are terminated? Who remain at least 6 months? Who remain at least 1 year? If possible calculate 6-month and 1-year program retention rates including only those clients who were admitted to the program at least 6 months prior to the calculation of retention and 1 year prior, respectively.

**Impact on criminal behavior:** To what extent have program participants been arrested on new charges while they are active in the program? When participants have been arrested, what are the types of charges (e.g., drug possession, traffic infraction, violent offense)? To what extent have drug court participants remained arrest-free after their admission to the program? What percentage of all clients is rearrested during their time in the drug court program? What percentage of graduates? Of those terminated? What are the characteristics of clients who are rearrested during the program, compared to those who are not rearrested?

**Impact on substance abusing behavior:** Who conducts urinalysis testing? How frequently are participants tested for specific types of drugs? Is the drug testing done randomly? Are drug tests observed? What percentages of *all drug tests* are positive for any drug? For marijuana? Cocaine? Heroin? Methamphetamine? Other? What percentage of *clients* has at least one positive urine test? What percentages of clients test positive for marijuana? Cocaine? Heroin? Methamphetamine? Other? Specify the time period used for this calculation. Is testing for alcohol conducted on a routine basis? If so, what percentage of clients test positive for alcohol?

**Impact on participants' life circumstances:** To what extent has the program succeeded in enhancing participants' capacity to function in the community? Enhancing their educational levels? Job skills? Actual employment? Physical health? To what extent have program participants been able to be reunited with families from whom they had been separated because of their drug problems? How many drug-free babies have been born to program participants? What percentages of clients are employed after 6 months in the program? After 12 months? Upon graduation? What percentage is in school or in a training program?

**Implementation:** Were all program components implemented as intended? If not, why? Have any changes been made to the program from the initial design? Is the program reaching the goals and objectives set forth initially? Have new goals and objectives been added? Are there areas of the program that appear problematic? Do team members have concerns about the program? What are some recommendations to improve problematic areas?

## **Additional Questions for Juvenile Drug Court Process Evaluations**

**School attendance and performance:** What is the nature of the relationship between the juvenile drug court and the local schools? What types of information are provided by the schools to the drug court regarding school attendance, performance, and problems? Are participants engaged in any special school-based programs such as afterschool programs, etc.? What percentages of clients are enrolled in mainstream schools? In alternative schools? What are the average attendance rates for participants?

**Family involvement:** What involvement in the drug court is required of the juvenile's family? For what percentage of status hearings is a family member present in court?

## **Additional Questions for Outcome Evaluation**

**Recidivism:** What percentage of drug court graduates is rearrested 1 year after program completion? What percentage of program failures? What percentage of all participants admitted to the drug court? *[NOTE: Include only those participants who have had at least 1 year from graduation or termination.]* For what types of charges? What are the characteristics (demographics, type of drug problem, charge, prior criminal record, social indicators, health) of those rearrested versus not rearrested?

What percentage of drug court graduates receives a technical violation of probation 1 year after program completion? What percentage of program failures? What percentage of all participants admitted to the drug court? *[NOTE: Include only those participants who have had at least 1 year from graduation or termination.]* For what types of technical violations? What are the characteristics (demographics, type of drug problem, charge, prior criminal record, social indicators, health) of those receiving violations versus those who do not? What percentage of graduates, dropouts, all participants are reconvicted for a criminal offense 1 year after the program? What is the total number of jail days served during 1 year after the program by graduates, dropouts, all participants?

To answer these types of questions, drug courts must maintain or have ready access to a considerable amount of information about individuals *and* must be able to aggregate relevant data in appropriate categories at reasonably frequent intervals. The information needed for monitoring and evaluation purposes should be obtainable from the records used in the program's day-to-day operations, including records of screening activities, assessments, drug court dockets, treatment progress reports, drug test results, and criminal history "rap sheets." Optimally, program managers should be able to review reports that aggregate and present this type of information in easy-to-read report formats at least once a month. They should also be able to generate ad hoc reports that provide relevant information on all of the topics listed above and many others as well.

## **Management Information Systems To Aid in the Collection of Evaluation Data**

Applicants are strongly encouraged to design, implement, and maintain an automated data collection system for use in collecting program implementation data, process information, and baseline data that can be used to chart the progress and impact of the funded program. The application should detail specific data elements to be included in the automated data collection system and outline procedures to collect this information, including specific budgetary and personnel information. Following is a list of the minimum types of information that drug court information systems should routinely collect.

- Number of persons found eligible for the program.
- Number of persons admitted to the program.
- Number of eligible persons who were not admitted to the program. (Note: if at all possible, the reasons for nonadmission should be obtained and demographic, case, and criminal history information should be collected for these persons for comparison purposes.)
- Characteristics of persons admitted to the program.
- Date of arrest.
- Date of admission to the drug court program.
- Age.
- Sex.
- Race/Ethnicity.
- Family status.
- Employment status.
- Educational level.
- Current charge(s).
- Criminal history.
- Drug use history.
- Alcohol and other drug treatment history.
- Mental health treatment history.
- Medical needs (including detoxification).
- Nature and severity of substance abuse problem.
- Treatment recommendations (from initial assessment and any followup assessments) and record of treatment regimen followed by each participant.
- Number of participants currently active in the program, with appropriate categorization to reflect the number of persons in specific program phases, duration of time in program, principal types of treatment being provided, etc.
- Number and characteristics of persons who successfully complete the program.
- Number and characteristics of persons who have been terminated from the program, reasons for termination, and length of time in the program before termination.
- Criminal justice sanctions imposed on noncompleters.
- Number of participants who fail to appear at drug court hearings, and number of bench warrants issued for participants by stage of participation in the program.
- Number of rearrests during involvement in the drug court program and for a period of at least 1 year thereafter, and the types of arrests (e.g., drug possession, other nonviolent offense, violent offense).
- Fees, fines, costs, and restitution paid by each participant.



- Community service hours completed by each participant.
- Drug test histories of each participant while in the drug court program.
- Record of attendance and treatment progress for each participant.
- Record of program sanctions imposed on each participant in response to a positive drug test or other evidence of noncompliance with program requirements.
- Principal accomplishments of each participant while in the drug court program (e.g., advancement to new phase, attainment of GED or other educational objective, employment, family reunification, birth of drug-free baby).
- Costs of drug court operations, and the source(s) of funding for each operational component.

For further information please refer to the OJP publication, *Drug Court Monitoring, Evaluation, and Management Information Systems*. The report is available by visiting the DCPO Web site at [www.ojp.usdoj.gov/dcpo](http://www.ojp.usdoj.gov/dcpo) or by calling the National Criminal Justice Reference Service at 1-800-851-3420 (refer to publication number NCJ 171138).

## **Appendix E**

### **Comprehensive Care Continuum**

A comprehensive treatment continuum is described below. Most, if not all, of these components are appropriate for members of every target population. However, not all services and interventions are needed by every individual in treatment or recovery.

This continuum is not specific to treatment philosophy, modality, or setting. It is a generic framework within which applicants can conceptualize a comprehensive service delivery plan.

Methods of implementing the components of this continuum, the staff who deliver each service, the manner and setting in which different services are delivered, and so on should be based on (1) the unique needs of the target population; (2) the extent to which there are addiction treatment, health care, human services, housing, and labor training alternatives elsewhere in the jurisdiction [of authority]; and (3) the extent of available resources. The array of services described below need not be provided by a single treatment entity but can be provided by a consortium of addiction treatment providers, health and human services providers, and criminal justice supervision agencies linked via coordinated case management.

An effective service delivery plan must include the following components.

#### **Program Management, Structure, and Staff**

- Clear program vision, philosophy, and mission statements, coupled with a strategic plan for achieving identifiable objectives (e.g., increase the number of clients who complete treatment to 80 percent; reduce rearrest rates for all program participants who complete treatment by 60 percent).
- Ability to conduct comprehensive assessments at intake, track client progress via documented case-finding methods and evaluation tools, maintain process-tracking capabilities, and conduct outcome evaluations (during and after treatment) for all program participants.
- Multidisciplinary staff capable of ensuring that programming is delivered in a clinically appropriate and culturally competent manner.
- Staff training and cross-training capability covering issues pertinent to effective treatment, including cross training of administrative, security, and treatment staff; gender sensitivity (sexuality, abuse); age-specific interventions; cultural competency; pharmacologic interventions; infectious disease transmission; dissemination of the latest research findings; HIV/AIDS counseling (coping skills/risk reduction/partner notification); dealing with psychopathology; and cognitive training for offenders.

## **Screening, Intake, and Monitoring**

- Intake and assessment protocol that consists of a medical exam; alcohol and drug use history; psychosocial evaluation; where indicated, psychiatric assessment that is appropriate for evaluating all clients with respect to drug use, alcohol use, and degree of psychopathology; assessment of physical health; extent of cognitive or other impairments; employment history and capability; social history and status (e.g., family of origin, sociocultural background, exposure to abuse or violence); educational status; and history of involvement in the criminal or juvenile justice systems.
- Screening for infectious diseases, including HIV/AIDS (to include pre- and posttest counseling), tuberculosis, sexually transmitted diseases, hepatitis B, and others, as appropriate.
- Health education, including safe sex and risk reduction techniques to mitigate the spread of HIV and other sexually transmitted diseases.
- Initial urine screening for the presence of prevalent drugs (licit or illicit) and a system of randomized (at least weekly), monitored urine testing for all treated inmates.
- Referral of clients to treatment and recovery settings and modalities that are best suited to meet their needs (client-treatment matching).
- Case management (timely treatment plan development, treatment record maintenance and patient monitoring, integration of treatment services into supervised programming, and continuation of recovery support services in community-based settings with continual case supervision throughout).

## **Timing and Duration of Treatment and Recovery Services**

- Same day intake services, and, whenever possible, individuals requesting intervention should be admitted to a treatment unit on the same day.
- Treatment and recovery services provided in the context of a sustained continuum that begins during detention or incarceration and is continued in the community of residence during parole and/or release from the facility.

## **Treatment and Recovery Services**

- Special focus groups (peer-based and professionally monitored), general peer/support groups, cognitive group therapy, and counseling for HIV-positive clients and victims of sexual abuse.
- Special treatment programming designed to address anger management, violence prevention, victimization issues, and values formation.
- Preventive and primary medical care as required per client, including gynecologic/obstetric or reproductive health, pre- and postnatal care, and pediatric care.
- Psychiatric assessments, followed by provision of specialized therapy to address indicated psychopathology, appropriate pharmacologic interventions, and monitoring, provided by practitioners recognized by appropriate State or local authorities (e.g., appropriately credentialed psychiatrists, psychologists, and psychiatric nurses).

- Psychological counseling (when indicated) by persons recognized by State/local authorities as qualified to provide the indicated form of therapy.
- Strategies to involve family members and significant others in the treatment process and provision of family/collateral counseling, as appropriate, provided by persons recognized by State/local authorities to provide such counseling.
- Use of peers as mentors and sponsors; strong linkages with self-help groups such as Alcoholics Anonymous, Narcotics Anonymous, and Cocaine Anonymous.
- Gender-specific, age-specific, and culturally relevant strategies (e.g., staff recruitment and retention, unique treatment setting attributes, appropriate literature and audiovisual materials, and social activities) to keep clients actively engaged in the treatment process.
- Parenting skills development for both fathers and mothers, including infant and childhood development courses to enhance parental functioning.
- Nutritional and general health education by a qualified technician.
- Skill development components that emphasize daily life skills, how to make use of available community resources, and maintaining a drug- and crime-free lifestyle in a community context.
- Child care provision at the treatment facility (where appropriate for custodial parent residents).
- Recreational and social activities.
- Transportation (onsite or offsite for specialized services or employment, as appropriate).
- Intensive supervision through probation, parole, community supervision, juvenile supervision, or other supervision agencies (e.g., Treatment Alternatives to Street Crime [TASC]).
- Sustained continuity of treatment, recovery, and support services postrelease, including frequent interaction with a mentor, primary counselor, or case manager, as appropriate; intensive interventions as needed (e.g., in the event of a traumatic event such as death or divorce); participation in ongoing peer-based support programs; and drug-free cooperative living arrangements.
- Coordination of the treatment and recovery continuum with other germane services, such as vocational rehabilitation, education, legal aid, and transportation.

---

## **RESOURCES: ADDITIONAL FEDERAL DRUG COURT FUNDING SOURCES**

## **A. Bureau of Justice Assistance**

*Edward Byrne Memorial State and Local Law Enforcement Assistance Fact Sheet*

*FY 2001 Local Law Enforcement Block Grants Program Fact Sheet*

**State Offices Administering the Edward Byrne Memorial State and Local Law Enforcement Program**



# BJA Bureau of Justice Assistance Fact Sheet

## Edward Byrne Memorial State and Local Law Enforcement Assistance

### Fiscal Year 2001

Through the Edward Byrne Memorial State and Local Law Enforcement Assistance Program (the Byrne Program), the Bureau of Justice Assistance (BJA) provides leadership and guidance on crime and violence prevention and control and works in partnership with state and local governments to make communities safe and improve criminal justice systems. BJA develops and tests new approaches in criminal justice and crime control and encourages replication of effective programs and practices by state and local criminal justice agencies. The Byrne Program, created by the Anti-Drug Abuse Act of 1988 (Public Law 100-690), emphasizes controlling violent and drug-related crime and serious offenders and fosters multijurisdictional and multistate efforts to support national drug-control priorities.

BJA makes Byrne Program funds available through two types of grant programs: discretionary and formula. Discretionary funds are awarded directly to public and private agencies and private nonprofit organizations; formula funds are awarded to the states, which then make subawards to state and local units of government.

### Discretionary Grant Program

**Program purposes.** The Byrne Discretionary Grant Program focuses on the following crime and violence prevention and control activities:

- ❑ Undertaking educational and training programs for criminal justice personnel.
- ❑ Providing technical assistance to state and local units of government.

- ❑ Promoting projects that are national or multijurisdictional in scope.
- ❑ Demonstrating programs that, in view of previous research or experience, are likely to be successful in more than one jurisdiction.

**Funding.** In fiscal year (FY) 2001, over \$78 million was appropriated for the Byrne Discretionary Grant Program, although more than \$75 million has been earmarked for special projects.

**Eligibility.** Public and private agencies and private nonprofit organizations are generally eligible to apply for and receive funds under this program.

**Matching requirements.** Grants and contracts may be awarded for up to 100 percent of the cost of a project. However, BJA's policy is to promote leveraging of state, local, and private resources and to emphasize the need for early sustainment planning by grant recipients.

**Program priorities.** During FY 2001, BJA will focus on programs that implement comprehensive approaches to crime; stimulate partnerships among public agencies, private organizations, and communities; and address unmet needs in the delivery of criminal justice services. Most funds appropriated for discretionary grants will be awarded to continue initiatives started in previous fiscal years or to support those efforts designated by Congress.

BJA also seeks out new initiatives through competitive programs. Competitive solicitations have been used to request the submission of innovative concepts and practices in issues such as community justice, alcohol and crime, crime prevention among the elderly, improvements in access to services in rural and tribal settings,

---

mental health-police partnerships, local criminal justice planning, improvements in front-end decisionmaking, strategies to strengthen the adjudication process, and innovations in offender supervision. State and local governments submit concept papers on individual topics within these general areas, and panels of experts review concept papers or applications. Funding decisions are made by the Director of BJA.

## Formula Grant Program

**Program purposes.** The Byrne Formula Grant Program is a partnership among federal, state, and local governments to create safer communities and improved criminal justice systems. BJA is authorized to award grants to states for use by states and units of local government to improve the functioning of the criminal justice system, with emphasis on violent crime and serious offenders, and to enforce state and local laws that establish offenses similar to those in the federal Controlled Substances Act. Grants may be used to provide personnel, equipment, training, technical assistance, and information systems for more widespread apprehension, prosecution, adjudication, detention, and rehabilitation of offenders who violate such state and local laws. Grants also may be used to provide assistance (other than compensation) to victims of these offenders. There are 28 legislatively authorized purpose areas (outlined in the next section) for which formula grant assistance may be provided.

**Funding.** In FY 2001, \$500 million was appropriated for the Byrne Formula Grant Program. From this allocation, each state receives a base amount of 0.25 percent of the total allocation. Remaining funds are allocated according to each state's relative share of the U.S. population. (American Samoa and the Northern Mariana Islands share one allocation.)

**Eligibility.** The 50 states, the District of Columbia, the Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands are eligible to apply for formula grant funds. For the purposes of this program, references to "state" include all of these eligible entities.

**State office.** The chief executive of each participating state designates a state office to administer the state's Byrne Program and to coordinate the distribution of funds with state agencies receiving federal funds for drug abuse education, prevention, treatment, and research activities and programs. An office or agency performing other functions within the state's executive branch may be the designated state office.

**Statewide strategy.** Each state is required to develop a statewide strategy to improve its functioning of the criminal justice system, with an emphasis on drug trafficking, violent crime, and serious offenders. The strategy should be prepared after consultation with state and local officials, particularly those whose duty it is to enforce drug and criminal laws and to direct the administration of justice, and made available to the public for comment.

**Administrative funds.** Up to 10 percent of formula grant funds allocated to a state may be used to pay for costs incurred in administering the formula grant program.

**Matching requirements.** At least 25 percent of the cost of a program or project funded with a formula grant must be paid in cash with nonfederal funds. These "match" funds must be in addition to funds that would otherwise be made available by the recipient for law enforcement. Match funds are generally provided on a project-by-project basis, although BJA can approve a statewide match option.

**Passthrough.** The minimum passthrough amount for each state is based on the percentage of funds expended for criminal justice purposes by units of local government relative to total state and local criminal justice expenditures in the state. These expenditures must be funded by state and local revenue sources (e.g., taxes, charges and fees, utility revenue, and interest earnings). This requirement applies only to the 50 states. The District of Columbia, because of its designation as a local unit of government, is required to pass through 100 percent. The Commonwealth of Puerto Rico, the Virgin Islands, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands have no passthrough requirement due to their single-level government structures.

**Funding priority.** In distributing funds, states are to give priority to jurisdictions with the greatest need for assistance with criminal justice programs.

**Congressional mandates.** States are required to comply with the following congressional mandates:

- ❑ **Criminal Justice Records Improvement Plan.** States must use at least 5 percent of their formula grant awards for the improvement of criminal justice records.
- ❑ **Immigration and Naturalization Plan.** States must develop methods to notify the U.S. Immigration and Naturalization Service (INS) of alien convictions and to provide records of those convictions to INS.



## FY 2001 Byrne Formula Grant Program Awards

State	FY 2001 Awards	Percentage To Be Passed Through to Local Jurisdictions	State	FY 2001 Awards	Percentage To Be Passed Through to Local Jurisdictions
Alabama	7,911,369	50.95	New York	28,900,369	63.29
Alaska	2,218,368	21.97	North Carolina	12,892,369	41.36
Arizona	8,531,369	61.04	North Dakota	2,240,368	56.16
Arkansas	4,610,200	54.87	Ohio	18,365,369	64.42
California	51,592,369	63.15	Oklahoma	6,375,369	45.41
Colorado	7,435,369	58.82	Oregon	6,312,369	46.98
Connecticut	6,260,369	36.96	Pennsylvania	19,485,369	64.83
Delaware	2,422,368	26.87	Rhode Island	2,782,368	41.76
District of Columbia	2,065,368	100.00	South Carolina	7,176,369	42.53
Florida	24,216,369	61.56	South Dakota	2,391,368	47.16
Georgia	13,100,369	53.39	Tennessee	9,602,369	48.78
Hawaii	3,077,368	46.45	Texas	31,705,369	65.60
Idaho	3,178,368	52.41	Utah	4,511,369	49.76
Illinois	19,688,369	64.51	Vermont	2,153,368	25.11
Indiana	10,299,369	56.78	Virginia	11,711,369	30.04
Iowa	5,633,369	40.79	Washington	10,016,369	60.25
Kansas	5,306,369	47.49	West Virginia	4,021,369	47.93
Kentucky	7,290,369	32.30	Wisconsin	9,248,369	61.98
Louisiana	7,914,369	51.92	Wyoming	2,006,368	54.95
Maine	3,180,368	41.59	Puerto Rico	7,182,369	0
Maryland	9,128,369	44.47	Virgin Islands*	1,459,368	0
Massachusetts	8,474,400	34.52	Guam	1,336,068	0
Michigan	16,251,369	53.10	American Samoa**	875,221	0
Minnesota	8,527,369	70.29	N. Mariana Islands**	488,521	0
Mississippi	5,480,369	52.52	*Anticipated award amount for the Virgin Islands.		
Missouri	10,538,869	58.22	**American Samoa, 67 percent of allocation; N. Mariana Islands, 33 percent of allocation.		
Montana	2,618,368	58.56	Figures for populations of states and for Puerto Rico are based on U.S. Census Bureau estimates as of July 1, 1997.		
Nebraska	3,807,368	60.36	Figures for other U.S. territories are based on the 1990 census.		
Nevada	4,024,369	62.01	Note: Actual award amounts reflect the FY 2001 allocations, as well as penalties for failure to comply with HIV or Jacob Wetterling Act requirements and FY 2000 supplements to states that are in compliance with HIV and Jacob Wetterling Act requirements, as applicable.		
New Hampshire	3,101,368	51.46			
New Jersey	13,639,369	57.67			
New Mexico	3,919,369	42.23			

❑ **Human Immunodeficiency Virus (HIV) Testing.** States must enact and enforce a law that requires sex offenders to be tested for HIV if the victim requests such testing. If a state fails to comply, 10 percent of the state's formula grant will be withheld. FY 2000 HIV penalty redistribution amounts were added to FY 2001 Byrne Formula allocations.

❑ **Jacob Wetterling Sex Offender Registry.** States must establish 10-year registration requirements for persons convicted of certain crimes against minors and sexually violent offenses and a more stringent set of registration requirements for a subclass of highly dangerous sex offenders characterized as "sexually violent predators." If a state fails to comply with these requirements, 10 percent of its formula grant will be withheld. FY 2000 penalty redistribution amounts were added to FY 2001 allocations.

**Construction.** Grant funds may be used for construction of penal and correctional institutions only. Acquisition of land with grant funds is prohibited.

**Period of project support.** Projects in the aggregate may be funded for a maximum of 4 years (48 months). Grants awarded to state and local governments to participate in multijurisdictional drug or gang task forces and victim assistance programs are excluded from this restriction.

## Legislatively Authorized Byrne Program Purposes

Both discretionary and formula grant funds may be used to implement programs that carry out any of the following 28 legislatively authorized purposes:

1. Demand-reduction education programs in which law enforcement officers participate.
2. Multijurisdictional task force programs to integrate federal, state, and local drug law enforcement agencies and prosecutors for the purpose of enhancing inter-agency coordination and intelligence and facilitating multijurisdictional investigations.
3. Programs to target the domestic sources of controlled and illegal substances, such as precursor chemicals, diverted pharmaceuticals, clandestine laboratories, and cannabis cultivations.
4. Community and neighborhood programs to assist citizens in preventing and controlling crime, including special programs that address crimes committed against the elderly and special programs in rural jurisdictions.

5. Programs to disrupt illicit commerce in stolen goods and property.

6. Programs to improve the investigation and prosecution of white-collar crime, organized crime, public corruption, and fraud against the government, with priority attention to cases involving official corruption.

7. a. Programs to improve the operational effectiveness of law enforcement through the use of crime analysis techniques, street sales enforcement, schoolyard violator programs, and gang-related and low-income housing drug-control programs.

b. Programs to develop and implement antiterrorism plans for deep-draft ports, international airports, and other important facilities.

8. Career criminal prosecution programs, including the development of model drug-control legislation.

9. Financial investigative programs to identify money laundering operations and assets obtained through illegal drug trafficking, including the development of model legislation, financial investigative training, and financial information-sharing systems.

10. Programs to improve the operational effectiveness of courts by expanding prosecutorial, defender, and judicial resources and implementing court delay-reduction programs.

11. Programs to improve the corrections system and provide additional public correctional resources, including treatment in prisons and jails, intensive supervision programs, and long-range corrections and sentencing strategies.

12. Prison industry projects to place inmates in a realistic working and training environment that enables them to develop marketable skills. With these skills inmates are better able to support their families and themselves in the institution and make financial restitution to their victims.

13. Programs to identify and meet the treatment needs of adult and juvenile drug- and alcohol-dependent offenders.

14. Programs to provide assistance to jurors and witnesses and assistance (other than compensation) to victims of crime.

15. a. Programs to improve drug-control technology, such as pretrial drug testing programs; to provide for the identification, assessment, referral to treatment, case management, and monitoring of

---

drug-dependent offenders; and to enhance state and local forensic laboratories.

b. Criminal justice information systems (including automated fingerprint identification systems) to assist law enforcement, prosecution, courts, and corrections organizations.

16. Programs to demonstrate innovative approaches to enforcement, prosecution, and adjudication of drug offenses and other serious crimes.
17. Programs to address drug trafficking and the illegal manufacture of controlled substances in public housing.
18. Programs to improve the criminal and juvenile justice system's response to domestic and family violence, including spouse abuse, child abuse, and elder abuse.
19. Programs with which states and local units of government can evaluate state drug-control projects.
20. Programs to provide alternatives to detention, jail, and prison for persons who pose no danger to the community.
21. Programs to strengthen urban enforcement and prosecution efforts targeted at street drug sales.
22. Programs to prosecute driving-while-intoxicated charges and enforce other laws relating to alcohol use and the operation of motor vehicles.
23. Programs to address the need for effective bindover systems for prosecuting violent 16- and 17-year-old juveniles in courts with jurisdiction over adults. (The crimes are specified.)
24. Law enforcement and prevention programs for gangs and youth who are involved or are at risk of involvement in gangs.
25. Programs to develop or improve forensic laboratory capability to analyze DNA for identification purposes.
26. Programs to develop and implement antiterrorism training and procure equipment for local law enforcement authorities.
27. Programs to enforce child abuse and neglect laws, including laws protecting against child sexual abuse, and promoting programs designed to prevent child abuse and neglect.
28. Programs to establish or support cooperative programs between law enforcement and media organizations, to collect, record, retain, and disseminate

information useful in the identification and apprehension of suspected criminal offenders.

*Note: Congress has authorized the use of Byrne funds to support programs that assist in the litigation of death penalty federal habeas corpus petitions and for drug testing initiatives. This authorization applies to FY 1998, 1999, 2000, and 2001 awards and may or may not be available in future funding cycles.*

## Program Evaluation

The Anti-Drug Abuse Act of 1988 mandates that all programs funded under the Byrne Program be evaluated. The goal is to identify and disseminate information about programs of proven effectiveness so that jurisdictions throughout the country can replicate them. In addition, evaluation results guide the formulation of policy and programs within federal, state, and local criminal justice agencies.

The National Institute of Justice (NIJ) has been an active participant in BJA's evaluation program. BJA and NIJ have jointly developed evaluation guidelines and conducted comprehensive evaluations of selected programs receiving discretionary and formula grant funds. The Director of NIJ is required to report to the President, Attorney General, and Congress on the nature and findings of Byrne Program evaluation activities.

Formula grant program applicants must include an evaluation component that meets the BJA/NIJ evaluation guidelines. The Director of BJA may waive this requirement under certain circumstances. Each state is required to provide BJA with an annual report that includes a summary of its grant activities and an assessment of the impact of these programs on the needs identified in its statewide strategy. Formula grant funds may be used to pay for evaluation activities.

Applicants for discretionary grant funding also are required to include an evaluation component in their applications and to conduct evaluations according to the procedures and terms established by BJA.

The Director of BJA is required to submit to the Speaker of the House of Representatives and to the President pro tempore of the Senate an annual report on evaluation results of BJA programs and projects and state strategy implementation.

---

## For Further Information

For additional information on the Bureau of Justice Assistance and its programs, contact the offices listed below. In addition, refer to OJP's *FY 2001 Program Plan* for a summary of all discretionary programs planned for FY 2001. Solicitations for competitive awards, including application instructions, will be issued separately and made available through the BJA home page or the BJA Clearinghouse home page. (See below for World Wide Web addresses.)

### Bureau of Justice Assistance

810 Seventh Street NW.  
Washington, DC 20531  
202-616-6500  
World Wide Web: [www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA)

### Bureau of Justice Assistance Clearinghouse

P.O. Box 6000  
Rockville, MD 20849-6000  
1-800-688-4252  
World Wide Web: [www.ncjrs.org](http://www.ncjrs.org)

Clearinghouse staff are available Monday through Friday, 8:30 a.m. to 7 p.m. eastern time. Ask to be placed on the BJA mailing list.

### U.S. Department of Justice Response Center

1-800-421-6770 or 202-307-1480  
Response Center staff are available Monday through Friday, 9 a.m. to 5 p.m. eastern time.

FS 000273  
July 2001

---

### U.S. Department of Justice

Office of Justice Programs  
*Bureau of Justice Assistance*

*Washington, DC 20531*

Official Business  
Penalty for Private Use \$300

PRESORTED STANDARD POSTAGE & FEES PAID DOJ/BJA PERMIT NO. G-91
---

Edward Byrne Memorial State and  
Local Law Enforcement Assistance Fact Sheet



# BJA Bureau of Justice Assistance Fact Sheet

## FY 2001 Local Law Enforcement Block Grants Program

For fiscal year (FY) 2001, Congress has appropriated \$523 million for the continuation of the Local Law Enforcement Block Grants (LLEBG) Program, to be administered by the Bureau of Justice Assistance (BJA), U.S. Department of Justice. The purpose of the LLEBG Program is to provide funds to units of local government to underwrite projects to reduce crime and improve public safety.

### Program Eligibility and Distribution of Funds

To be considered eligible for the LLEBG Program, a jurisdiction must be a general purpose unit of local government.<sup>1</sup> The unit of local government must report, via its law enforcement agencies, to the Uniform Crime Reports (UCR) Program of the Federal Bureau of Investigation (FBI).

The LLEBG Program is a formula program based on a jurisdiction's number of UCR Part I violent crimes reported to the FBI. The formula is computed in two stages. In the first stage, state allocations are proportionate to each state's average annual amount of UCR Part I violent crimes compared with that for all other states for the 3 most recent calendar years of data from the FBI. Each state, however, must receive a minimum award of 0.25 percent of the total amount available for formula distribution under the LLEBG Program. In the second stage, local awards are proportionate to each local jurisdiction's average annual amount of UCR Part I violent crimes compared with that for all other local jurisdictions in the state for the 3 most recent calendar years. Jurisdictions reporting crime rates above the formula-based threshold of \$10,000 are eligible for direct awards.

The difference remaining between the state allocation and the local allocation total is awarded to a state administrative agency (SAA) designated by the Governor. The SAA has the option of distributing award funds to state police departments or units of local government not meeting the formula-based threshold of \$10,000. Additional information about this portion of the funds is available from each state's respective SAA.

### Program Purpose Areas

LLEBG Program funds must be spent in accordance with one or more of the following seven purpose areas:

- ☐ Supporting law enforcement:
  - Hiring, training, and employing on a continuing basis new, additional law enforcement officers and necessary support personnel.
  - Paying overtime to currently employed law enforcement officers and necessary support personnel to increase the number of hours worked by such personnel.
  - Procuring equipment, technology, and other material directly related to basic law enforcement functions.
- ☐ Enhancing security measures in and around schools and in and around other facilities or locations that the unit of local government considers special risks for incidents of crime.
- ☐ Establishing or supporting drug courts.
- ☐ Enhancing the adjudication of cases involving violent offenders, including cases involving violent juvenile offenders.

- ❑ Establishing a multijurisdictional task force, particularly in rural areas, composed of law enforcement officials representing units of local government. This task force must work with federal law enforcement officials to prevent and control crime.
- ❑ Establishing crime prevention programs involving cooperation between community residents and law enforcement personnel to control, detect, or investigate crime or to prosecute criminals.
- ❑ Defraying the cost of indemnification insurance for law enforcement officers.

## Program Requirements

The following requirements must be met prior to the obligation of LLEBG Program funds and prior to the Request for Drawdown (RFD) of funds. The RFD must be completed within 90 days of the posting of awards, or the funds will be redistributed in the following fiscal year.

- ❑ **Advisory Board**  
Each jurisdiction must establish or designate an advisory board to review the application. The board must be designated to make nonbinding recommendations for the proposed use of funds received under this program. The advisory board must include a member from each of the following local organizations: law enforcement agency, prosecutor's office, court system, school system, and a nonprofit group (e.g., educational, religious, community) active in crime prevention or drug-use prevention or treatment.
- ❑ **Public Hearing**  
Each jurisdiction must hold at least one public hearing regarding the proposed use of funds prior to the obligation of funds. Jurisdictions should encourage public attendance and participation.
- ❑ **Matching Funds**  
In each jurisdiction, LLEBG funds may not exceed 90 percent of total program costs. Program participation requires a cash match that will not be waived. All recipients must maintain records clearly showing the source, amount, and timing of all matching contributions.
- ❑ **Trust Fund**  
Each jurisdiction must establish a trust fund that may accrue interest in which to deposit program funds.

- ❑ **Expenditure Period**  
All federal funds, including interest, revenue, dividend, and match, must be spent within the 2-year expenditure period. Unspent funds must be returned to BJA within 90 days of program termination.
- ❑ **Public Safety Officers' Health Benefits Provision**  
Section 615 of the FY 1998 Appropriations Act requires a unit of local government to afford a public safety officer *who retires or is separated from duty due to a personal line-of-duty injury, suffered as a direct and proximate result of responding to a hot pursuit or an emergency situation*, health benefits at the time of separation that are the same as or better than those he or she received while on duty.

To be eligible to receive the entire amount of award under the LLEBG Program, a unit of local government must be in compliance with this provision. If not in compliance, the unit will forfeit 10 percent of the eligible amount. Further information about this provision is provided on the LLEBG Internet-based application system, which may be accessed at [www.ojp.usdoj.gov/BJA/html/llebg1.htm](http://www.ojp.usdoj.gov/BJA/html/llebg1.htm).

## Prohibition on Use of Funds

LLEBG funds are not to be used to purchase, lease, rent, or acquire tanks or armored vehicles, fixed-wing aircraft, limousines, real estate, yachts, or any vehicle not used primarily for law enforcement. Nor are funds to be used to retain individual consultants or construct new facilities. Likewise, federal funds are not to be used to supplant state or local funds. Rather, they are to be used to increase the amount of funds that would otherwise be available from state and local sources.

## Resolution of Funding Disparities

The LLEBG Program provides resolution to potential funding disparities within jurisdictions. A state attorney general may certify that a disparity exists between or among jurisdictions. Those jurisdictions are then required by statute to develop and submit joint applications. BJA's role is limited to accepting state attorney general certifications and reviewing jointly submitted applications. If the state attorney general chooses not to become involved in the disparate allocation certification process, there is no mechanism for BJA to intervene. All certifications must be submitted within given deadlines, prior to BJA determination of annual award amounts.

---

The LLEBG Program employs two criteria for determining eligibility for disparity certification. First, an associated municipality's eligible funding amount must be greater (by set percentages) than the funding amount of the county. Second, the county must bear more than 50 percent of prosecution or incarceration costs arising from Part I violent crimes reported by an associated municipality. If there are multiple associated municipalities, the county must also show that the funding allocations to those municipalities is likely to threaten the efficient administration of justice.

## **FY 2001 Application Process**

The FY 2001 application and award processes will be administered via the Internet-based Grants Management System. Application deadlines and other LLEBG Program dates will be established in accordance with system development efforts and will be posted on the BJA Web site. The application process will consist of the following steps:

1. BJA will notify units of government of their eligibility and provide information on the Internet-based application system for the FY 2001 LLEBG Program.
2. State attorneys general will submit disparity certifications to BJA, if applicable.
3. As required by statute, chief executive officers (CEOs) will submit a copy of the application to the Governor or designated representative.
4. CEOs will submit FY 2001 LLEBG applications via the Internet. Visit the BJA Web site for additional guidance regarding the online submission of applications.
5. BJA will make awards on a rolling basis, with all FY 2001 awards completed by September 28, 2001.

## **Technical Assistance**

For a complete listing of technical assistance available under the LLEBG Program, visit [www.ojp.usdoj.gov/BJA/html/lta.htm](http://www.ojp.usdoj.gov/BJA/html/lta.htm).

## **For Further Information**

To find out more about the Local Law Enforcement Block Grants Program or BJA's technical assistance initiatives, contact the following offices:

### **Bureau of Justice Assistance State and Local Assistance Division**

810 Seventh Street NW.  
Washington, DC 20531  
202-305-2088  
Fax: 202-514-5956  
World Wide Web: [www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA)

### **Bureau of Justice Assistance Clearinghouse**

P.O. Box 6000  
Rockville, MD 20849-6000  
1-800-688-4252  
World Wide Web: [www.ncjrs.org](http://www.ncjrs.org)

Clearinghouse staff are available Monday through Friday, 8:30 a.m. to 7 p.m. eastern time. Ask to be placed on the BJA mailing list.

### **U.S. Department of Justice Response Center**

1-800-421-6770 or 202-307-1480

Response Center staff are available Monday through Friday, 9 a.m. to 5 p.m. eastern time.

## **Notes**

1. Units of local government are counties, towns and townships, villages, cities, parishes, Indian tribes, Alaska Native villages, and parish sheriffs (in the state of Louisiana) that carry out substantial governmental duties.

FS 000268  
May 2001

**U.S. Department of Justice**  
Office of Justice Programs  
*Bureau of Justice Assistance*

*Washington, DC 20531*

---

Official Business  
Penalty for Private Use \$300

FIRST-CLASS MAIL  
POSTAGE & FEES PAID  
DOJ/BJA  
PERMIT NO. G-91

**FY 2001 Local Law Enforcement Block  
Grants Program Fact Sheet**

**BJA World Wide Web Address**

**For a copy of this document online,  
as well as more information on BJA,  
check the BJA Home Page at  
[www.ojp.usdoj.gov/BJA](http://www.ojp.usdoj.gov/BJA)**



## State Single Points of Contact Intergovernmental Review Process

Executive Order 12372 requires applicants from State and local units of government or other organizations providing service within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists and if this program has been selected for review by the State. You must contact your State SPOC to find out if this program has been selected for review by your State.

The Catalog of Federal Domestic Assistance reference for this program is number 16.586. A current list of State SPOC's is set forth below.\*

### **ARKANSAS**

Tracy L. Copeland  
Manager, State Clearinghouse  
Office of Intergovernmental Services  
Department of Finance and  
Administration  
1515 West Seventh Street, Room 412  
Little Rock, AR 72203  
Phone: 501-682-1074  
Fax: 501-682-5206  
E-mail: tlcopeland@dfa.state.ar.us

### **CALIFORNIA**

Grants Coordination  
State Clearinghouse  
Office of Planning and Research  
P.O. Box 3044, Room 222  
Sacramento, CA 95812-3044  
Phone: 916-445-0613  
Fax: 916-323-3018  
E-mail: state.clearinghouse@opr.ca.gov

### **DELAWARE**

Charles H. Hopkins  
Executive Department  
Office of the Budget  
540 South Dupont Highway,  
Third Floor  
Dover, DE 19901  
Phone: 302-739-3323  
Fax: 302-739-5661  
E-mail: chopkins@state.de.us

### **DISTRICT OF COLUMBIA**

Luisa Montero-Diaz  
Office of Partnerships and Grants  
Development  
Executive Office of the Mayor  
441 Fourth Street NW,  
Suite 530 South  
Washington, DC 20001  
Phone: 202-727-8900  
Fax: 202-727-1652  
E-mail: opgd.eom@dc.gov

### **FLORIDA**

Jasmin Raffington  
Florida State Clearinghouse  
Department of Community Affairs  
2555 Shumard Oak Boulevard  
Tallahassee, FL 32399-2100  
Phone: 850-922-5438  
Fax: 850-414-0479  
E-mail: clearinghouse@dca.state.fl.us

### **GEORGIA**

Georgia State Clearinghouse  
270 Washington Street SW.  
Atlanta, GA 30334  
Phone: 404-656-3855  
Fax: 404-656-7901  
E-mail: gach@mail.opb.state.ga.us

### **ILLINOIS**

Virginia Bova  
Department of Commerce and  
Community Affairs

James R. Thompson Center  
100 West Randolph, Suite 3-400  
Chicago, IL 60601  
Phone: 312-814-6028  
Fax 312-814-8485  
E-mail: vbova@commerce.state.il.us

### **IOWA**

Steven R. McCann  
Division of Community and Rural  
Development  
Iowa Department of Economic  
Development  
200 East Grand Avenue  
Des Moines, IA 50309  
Phone: 515-242-4719  
Fax: 515-242-4809  
E-mail: steve.mccann@ided.state.ia.us

### **KENTUCKY**

Ron Cook  
Department for Local Government  
1024 Capital Center Drive, Suite 340  
Frankfort, KY 40601  
Phone: 502-573-2382  
Fax: 502-573-2512  
E-mail: ron.cook@mail.state.ky.us

### **MAINE**

Joyce Benson  
State Planning Office  
184 State Street

\* In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," this listing represents the designated State Single Points of Contact. The States not listed no longer participate in the process. This list is based on the most current information provided by the States. Information on any changes or apparent errors should be provided to the Office of Management and Budget and the State in question. Changes to the list will only be made upon formal notification by the State. Also, this listing is published biannually in the Catalogue of Federal Assistance.

38 State House Station  
Augusta, ME 04333  
Phone: 207-287-3261  
Fax: 207-287-6489  
E-mail: joyce.benson@state.me.us

#### **MARYLAND**

Linda Janey  
Manager, Clearinghouse and Plan  
Review Unit  
Maryland Office of Planning  
301 West Preston Street, Room 1104  
Baltimore, MD 21201-2305  
Phone: 410-767-4490  
Fax: 410-767-4480  
E-mail: linda@mail.op.state.md.us

#### **MICHIGAN**

Richard Pfaff  
Southeast Michigan Council of  
Governments  
535 Griswold, Suite 300  
Detroit, MI 48226  
Phone: 313-961-4266  
Fax: 313-961-4869  
E-mail: pfaff@semcog.org

#### **MISSISSIPPI**

Cathy Mallette  
Clearinghouse Officer  
Department of Finance and  
Administration  
1301 Woolfolk Building, Suite E  
501 North West Street  
Jackson, MS 39201  
Phone: 601-359-6762  
Fax: 601-359-6758

#### **MISSOURI**

Angela Boessen  
Federal Assistance Clearinghouse  
Office of Administration  
P.O. Box 809  
Truman Building, Room 840  
Jefferson City, MO 65102  
Phone: 573-751-4834  
Fax: 573-522-4395  
E-mail: igr@mail.oa.state.mo.us

#### **NEVADA**

Heather Elliott  
Department of Administration  
State Clearinghouse  
209 East Musser Street, Room 200  
Carson City, NV 89701  
Phone: 775-684-0209

Fax: 775-684-0260  
E-mail: hellriott@govmail.state.nv.us

#### **NEW HAMPSHIRE**

Jeffrey H. Taylor  
Director  
New Hampshire Office of  
State Planning  
Attn: Intergovernmental  
Review Process  
Mike Blake  
2 1/2 Beacon Street  
Concord, NH 03301  
Phone: 603-271-2155  
Fax: 603-271-1728  
E-mail: jtaylor@osp.state.nh.us

#### **NEW MEXICO**

Ken Hughes  
Local Government Division  
Room 201 Bataan Memorial  
Building  
Santa Fe, NM 87503  
Phone: 505-827-4370  
Fax: 505-827-4948  
E-mail: khughes@dfa.state.nm.us

#### **NORTH CAROLINA**

Jeanette Furney  
Department of Administration  
1302 Mail Service Center  
Raleigh, NC 27699-1302  
Phone: 919-807-2323  
Fax: 919-733-9571  
E-mail: jeanette.furney@ncmail.net

#### **NORTH DAKOTA**

Jim Boyd  
Division of Community Services  
600 East Boulevard Avenue,  
Department 105  
Bismarck, ND 58505-0170  
Phone: 701-328-2094  
Fax: 701-328-2308  
E-mail: jboyd@state.nd.us

#### **RHODE ISLAND**

Kevin Nelson  
Department of Administration  
Statewide Planning Program  
One Capitol Hill  
Providence, RI 02908-5870  
Phone: 401-222-2093  
Fax: 401-222-2083  
E-mail: knelson@doa.state.ri.us

#### **SOUTH CAROLINA**

Omeagia Burgess  
Budget and Control Board  
Office of State Budget  
1122 Ladies Street, 12th Floor  
Columbia, SC 29201  
Phone: 803-734-0494  
Fax: 803-734-0645  
E-mail: aburgess@budget.state.sc.us

#### **TEXAS**

Denise S. Francis  
Director, State Grants Team  
Governor's Office of Budget  
and Planning  
P.O. Box 12428  
Austin, TX 78711  
Phone: 512-305-9415  
Fax: 512-936-2681  
E-mail: dfrancis@governor.state.tx.us

#### **UTAH**

Carolyn Wright  
Utah State Clearinghouse  
Governor's Office of Planning  
and Budget  
State Capitol, Room 114  
Salt Lake City, UT 84114  
Phone: 801-538-1535  
Fax: 801-538-1547  
E-mail: cwright@gov.state.ut.us

#### **WEST VIRGINIA**

Fred Cutlip  
Director, Community Development  
Division  
West Virginia Development Office  
Building #6, Room 553  
Charleston, WV 25305  
Phone: 304-558-4010  
Fax: 304-558-3248  
E-mail: fcutlip@wvdo.org

#### **WISCONSIN**

Jeff Smith  
Section Chief, Federal/State Relations  
Wisconsin Department of  
Administration  
101 East Wilson Street, Sixth Floor  
P.O. Box 7868  
Madison, WI 53707  
Phone: 608-266-0267  
Fax: 608-267-6931  
E-mail: jeffrey.smith@doa.state.wi.us

**U.S. TERRITORIES**

**AMERICAN SAMOA**

Pat M. Galea'i  
Federal Grants/Programs Coordinator  
Office of Federal Programs  
Office of the Governor/Department  
of Commerce  
Pago Pago, AS 96799  
Phone: 684-633-5155  
Fax: 684-633-4195  
E-mail: pmgaleai@samoatelco.com

**GUAM**

Director  
Bureau of Budget and Management  
Research  
Office of the Governor  
P.O. Box 2950  
Agana, GU 96910  
Phone: 011-671-472-2285  
Fax: 011-671-472-2825  
E-mail: jer@ns.gov.gu

**PUERTO RICO**

Jose Caballero/Mayra Silva  
Puerto Rico Planning Board  
Federal Proposals Review Office  
Minillas Government Center  
P.O. Box 41119  
San Juan, PR 00940-1119  
Phone: 787-723-6190  
Fax: 787-722-6783

**NORTHERN MARIANA  
ISLANDS**

Jacoba T. Seman  
Federal Programs Coordinator  
Office of Management and Budget  
Office of the Governor  
Saipan, MP 96950  
Phone: 670-664-2289  
Fax: 670-664-2272  
E-mail: omb.jseman@saipan.com

**VIRGIN ISLANDS**

Ira Mills  
Director, Office of Management and  
Budget  
#41 Norre Gade Emancipation  
Garden Station, Second Floor  
Saint Thomas, VI 00802  
Phone: 340-774-0750  
Fax: 340-776-0069  
E-mail: lrmills@usvi.org

## **B. Office of Juvenile Justice and Delinquency Prevention**

*An Overview of the JAIBG Program* Fact Sheet

State Offices Administering the Juvenile Accountability Incentive  
Block Grants Program



# OJJDP FACT SHEET

April 2001 #09

## An Overview of the JAIBG Program

by Cecilia Duquela

The Juvenile Accountability Incentive Block Grants (JAIBG) program, administered by the Office of Juvenile Justice and Delinquency Prevention (OJJDP), is designed to promote greater accountability among juveniles who are involved in the juvenile justice system. To that end, the program provides support, both financial and programmatic, to improve juvenile justice system infrastructure and operations at the State and local levels. JAIBG funds are allocated to States based on each State's relative population of youth under age 18.

### State Eligibility and Program Areas

States participating in the JAIBG program are required to consider adopting State laws, policies, or procedures that (1) establish criminal prosecution by law or direct file for juveniles age 15 or older who are alleged to have committed a serious violent crime, (2) impose sanctions for every delinquent act and escalate sanctions for subsequent, more serious offenses, (3) establish a system of juvenile delinquency records similar to that of adult criminal records, and (4) promote increased parental supervision of juvenile offenders by facilitating the issuance of court orders that require such supervision and impose sanctions for violation of such orders. In addition, participating States are required to establish a policy for testing certain categories of alleged or adjudicated juvenile offenders for use of controlled substances.

JAIBG funds can be used for the following 12 program purpose areas:

1. Operation, expansion, renovation, or construction of temporary or permanent juvenile detention or correctional facilities, including training of correctional personnel.
2. Development and administration of accountability-based sanctions programs for juvenile offenders.
3. Hiring of judges, probation officers, and defenders and funding of pretrial services to improve the administration of the juvenile justice system.

4. Hiring of prosecutors in order to reduce backlogs of cases involving juvenile offenders.
5. Funding of prosecutor-led drug, gang, and violence programs.
6. Funding for training, technology, and equipment to help prosecutors identify and prosecute violent juvenile offenders.
7. Funding for implementation of more effective probation programs administered by juvenile courts and probation offices.
8. Establishment of juvenile gun courts to adjudicate and prosecute juvenile firearms offenders.
9. Establishment of juvenile drug court programs to provide supervision of juvenile offenders with substance abuse problems and an integrated administration of sanctions and services.
10. Establishment and enhancement of interagency information-sharing programs to promote enhanced collaboration between schools, law enforcement, and social service agencies.
11. Accountability-based programs for law enforcement referrals or to promote increased school safety by addressing drug, gang, and youth violence.
12. Controlled substance testing (including interventions) for juvenile offenders.

### Distribution of Funds to States

Of the total allocation to a State, up to 25 percent can be retained at the State level, absent a waiver. A State can request a waiver if it can demonstrate that it bears the primary financial burden (more than 50 percent) for the administration of juvenile justice within that State.

## Distribution of Funds to Units of Local Government

Unless a State receives a waiver, each State must distribute not less than 75 percent of its allocation among units of local government in the State. A unit of local government must qualify for a minimum of \$5,000 under the substate allocation formula in order to receive a subgrant award. This calculation is based on a formula that combines local law enforcement expenditures and the number of juvenile violent crime arrests for each jurisdiction.

## Matching Funds

A State or unit of local government recipient of a JAIBG award must provide at least 10 percent of the total program cost in the form of a cash match. However, when funds are used to construct a permanent juvenile facility, the cash match must be at least 50 percent of total program costs. JAIBG program funds cannot be used to supplant State or local funds.

## Juvenile Crime Enforcement Coalitions

States and units of local government participating in the JAIBG program have established Juvenile Crime Enforcement Coalitions (JCECs), which are responsible for formulating a coordinated enforcement plan for reducing juvenile crime. State JCECs consist of law enforcement and social service agencies involved in juvenile delinquency prevention. If members of the State Advisory Group (SAG), which is appointed to administer the Formula Grants program within the State, include law enforcement and social service agency representatives, then the SAG can also serve as the State's JCEC.

JCECs established by units of local government must include representation from law enforcement, schools, juvenile court, probation services, businesses, and nonprofit social service organizations. Units of local government may use appropriately

constituted Prevention Policy Boards, established under OJJDP's Title V Community Prevention Grants program, to meet the JCEC requirement.

## Training and Technical Assistance

Training and technical assistance support for implementing the JAIBG program is available to States and units of local government from Development Services Group, Inc. (DSG) of Bethesda, MD. Information about training and technical assistance can be obtained by calling DSG toll free, 877-GO-JAIBG (877-465-2424), or by visiting the DSG Web site, [www.dsgonline.com](http://www.dsgonline.com).

## For Further Information

For additional information about the JAIBG program, contact:

Chyrl Andrews, JAIBG Program Manager  
Office of Juvenile Justice and Delinquency Prevention  
810 Seventh Street NW.  
Washington, DC 20531  
202-307-5924  
[andrewsc@ojp.usdoj.gov](mailto:andrewsc@ojp.usdoj.gov) (e-mail)

The *JAIBG Guidance Manual, Version 3.0*, is designed to help States and units of local government apply for, receive, obligate, and expend JAIBG funds. The *Guidance Manual* can be obtained from OJJDP's home page, [www.ojjdp.ncjrs.org](http://www.ojjdp.ncjrs.org). Printed copies are available from the Juvenile Justice Clearinghouse, 800-638-8736.

Cecilia Duquela is a State Representative in OJJDP's State and Tribal Assistance Division.

*The Office of Juvenile Justice and Delinquency Prevention is a component of the Office of Justice Programs, which also includes the Bureau of Justice Assistance, the Bureau of Justice Statistics, the National Institute of Justice, and the Office for Victims of Crime.*

FS-200109

FS-200109

Fact Sheet



PRESTANDARD  
POSTAGE & FEES PAID  
DOJ/OJJDP  
PERMIT NO. G-91

U.S. Department of Justice  
Office of Justice Programs  
Office of Juvenile Justice and Delinquency Prevention  
Washington, DC 20531  
Official Business  
Penalty for Private Use \$300

## **State Offices Administering the Juvenile Accountability Incentive Block Grants Program**

### ***Alabama***

Don Lee  
Department of Economic and Community Affairs  
401 Adams Avenue  
P.O. Box 5690  
Montgomery, AL 36103-5690  
Phone: 334-242-5830  
Fax: 334-242-0712  
E-mail: donl.@adeca.state.al.us

### ***Alaska***

William Hurr, Grants Officer  
Alaska Office of Juvenile Justice  
P.O. Box 110635  
Juneau, AK 99811-0630  
Phone: 907-465-2116  
Fax: 907-465-2333  
E-mail: Will\_Hurr@health.state.ak.us

### ***Arizona***

Marcella Crane  
Governor's Division for Children  
1700 West Washington, Suite 101-B  
Phoenix, AZ 85007  
Phone: 602-542-3485  
Fax: 602-542-4644  
E-mail: mcrane@azgov.state.az.us

### ***Arkansas***

Cheryl Moten, Juvenile Justice Coordinator  
Division of Youth Services  
Department of Human Services  
P.O. Box 1437, Slot 3200/500  
Little Rock, AR 72203-1437  
Phone: 501-682-1708  
Fax: 501-682-1339  
E-mail: cheryl.moten@mail.state.ar.us

### ***California***

Briggite Baul, Juvenile Justice Coordinator  
Office of Criminal Justice Planning  
1130 K Street, Suite 300  
Sacramento, CA 95814  
Phone: 916-327-8705  
Fax: 916-324-9167  
E-mail: bbaul@ocsp.ca.gov

### ***Colorado***

Patricia Cervera  
Division of Criminal Justice  
Department of Public Safety  
700 Kipling Street, Suite 1000

Denver, CO 80215  
Phone: 303-239-4476  
Fax: 303-239-4491  
E-mail: patricia.cervera@cdps.state.co.us

### ***Connecticut***

Valerie LaMotte, Planning Analyst Supervisor  
Office of Policy and Management  
Policy Development and Planning Division  
450 Capitol Avenue, MS #52CPD  
Hartford, CT 06106-1308  
Phone: 860-418-6316  
Fax: 860-418-6496  
E-mail: valerie.lamotte@po.state.ct.us

### ***Delaware***

James Kane, Executive Director  
Criminal Justice Council  
Carvel State Office Building, 10th Floor  
820 North French Street  
Wilmington, DE 19801  
Phone: 302-577-5030  
Fax: 302-577-3440

### ***District of Columbia***

Doris Howard  
Office of Grants Management and Development  
717 14th Street NW., Suite 1200  
Washington, DC 20005  
Phone: 202-727-6537  
Fax: 202-727-1617  
E-mail: dho9@aol.com

### ***Florida***

George Hinchliffe  
Asst. Secretary for Programming and  
Planning Department of Juvenile Justice  
2737 Centerview Drive  
Tallahassee, FL 32399-3100  
Phone: 850-921-4188  
Fax: 850-922-2992  
E-mail: george.hinchliffe@djj.state.fl.us

### ***Georgia***

Pete Colbenson  
Children and Youth Coordinating Council  
10 Park Place South, Suite 410  
Atlanta, GA 30303  
Phone: 404-657-6982  
Fax: 404-651-9354

***Hawaii***

Suzanne Toguchi, Children and Youth Specialist  
Department of Human Services  
Office of Youth Services  
1481 South King Street, Suite 223  
Honolulu, HI 96814  
Phone: 808-973-3434  
Fax: 808-587-5734  
E-mail: oys@pixie.com

***Idaho***

Sharon Harrigfeld, Juvenile Justice Planner  
Department of Juvenile Corrections  
400 North 10th Street  
P.O. Box 83720  
Boise, ID 83720-0285  
Phone: 208-334-5100, ext. 111  
Fax: 208-334-5120

***Illinois***

Robert Taylor  
Illinois Criminal Justice Information Agency  
120 South Riverside Plaza, Suite 1016  
Chicago, IL 60606  
Phone: 312-793-8550  
Fax: 312-793-8422  
E-mail: taylor@icjia.state.il.us

***Indiana***

Catherine O'Conner  
Indiana Criminal Justice Institute  
302 West Washington Street, Room E-209  
Indianapolis, IN 46204  
Phone: 317-232-1233  
Fax: 317-232-4979

***Iowa***

Steve Michael  
Division of Criminal and Juvenile Justice Planning  
Lucas State Office Building, First Floor  
Des Moines, IA 50319  
Phone: 515-281-6509  
Fax: 515-242-6115  
E-mail: steve.michael@cjjp.state.ia.us

***Kansas***

Paula Schuttera, Juvenile Justice Specialist  
Jay Hawk Building  
714 SW. Jackson, Suite 300  
Topeka, KS 66603  
Phone: 785-296-4213  
Fax: 785-296-1412  
E-mail: pschutte@jjaco.wpo.state.ks.us

***Kentucky***

Sharon Cook  
Kentucky Department of Juvenile Justice  
1025 Capitol Center Drive, Building 3  
Frankfort, KY 40601-2638  
Phone: 502-573-2738, ext. 305

Fax: 502-573-0836

E-mail: skcook@mail.state.ky.us

***Louisiana***

Robert Miller, JAIB Coordinator  
Commission on Law Enforcement and the  
Administration of Criminal Justice  
1885 Wooddale Boulevard, Room 708  
Baton Rouge, LA 70806-1511  
Phone: 504-925-4259  
Fax: 504-925-1998  
E-mail: bobm@cole.state.la.us

***Maine***

Roxy Hennings, Juvenile Justice Planner  
Department of Corrections  
Division of Youth Services  
111 State House Station  
Augusta, ME 04333  
Phone: 207-287-4378  
Fax: 207-287-4370  
E-mail: Roxy.Hennings@state.me.us

***Maryland***

Catrice Alphonso  
Governor's Office of Crime Control and Prevention  
300 East Joppa Road, Suite 1105  
Towson, MD 21286-3016  
Phone: 410-321-3521, ext. 329  
Fax: 410-321-3116  
E-mail: catrice@goccp.usa.com

***Massachusetts***

Lynn Wright, Director of Prevention Programs  
Massachusetts Committee on Criminal Justice  
One Ashburton Place, Suite 2110  
Boston, MA 02108  
Phone: 617-727-6300, ext. 319  
Fax: 617-727-5356  
E-mail: lynn.wright@eps.state.ma.us

***Michigan***

Greg Rivet, Director  
Michigan Family Independence Agency  
235 South Grand Avenue, Suite 1515  
Lansing, MI 48909  
Phone: 517-241-7497  
Fax: 517-373-2799  
E-mail: rivetg2@state.mi.us

***Minnesota***

Jerry Ascher, Juvenile Justice Specialist  
Office of Youth Development  
Department of Economic Security  
390 North Robert Street  
St. Paul, MN 55101  
Phone: 651-296-8601  
Fax: 651-297-4689  
E-mail: jascher@ngwmail.des.state.mn.us



**Mississippi**

Dr. Billy V. White, Jr., Executive Director  
Department of Public Safety  
Division of Public Safety Planning  
P.O. Box 23039  
Jackson, MS 39225-3039  
Phone: 601-359-7880  
Fax: 601-359-7832

**Missouri**

Maria Hines, Juvenile Justice Coordinator  
Missouri Department of Public Safety  
Truman Office Building  
P. O. Box 749  
Jefferson City, MO 65102  
Phone: 573-526-1931  
Fax: 573-751-5399  
E-mail: maria@dps.state.mo.us

**Montana**

Allen C. Horsfall, Jr., Juvenile Justice Specialist  
Montana Board of Crime Control  
3075 North Montana Avenue  
Helena, MT 59620-1408  
Phone: 406-444-3651  
Fax: 406-444-4722  
E-mail: ahorsfall@mt.gov

**Nebraska**

Nancy Steeves, Grants Division Chief  
Commission on Law Enforcement and Criminal Justice  
301 Centennial Mall South  
P.O. Box 94946  
Lincoln, NE 68509-4946  
Phone: 402-471-3998  
Fax: 402-471-2837  
E-mail: nsteeves@crimecom.state.ne.us

**Nevada**

Stephen Shaw, Administrator  
Division of Child and Family Services  
Department of Human Resources  
711 East Fifth Street  
Carson City, NV 89711-1002  
Phone: 702-687-5982  
Fax: 775-684-8093

**New Hampshire**

John McDermott  
Juvenile Justice Administrator  
Department of Health and Human Services  
6 Hazen Drive  
Concord, NH 03301-6522  
Phone: 603-271-4714  
Fax: 603-271-4729  
E-mail: jmcdermo@dhhs.state.nh.us

**New Jersey**

Terry Edwards, c/o Pat Walker  
Juvenile Justice Specialist  
Juvenile Justice Commission  
Department of Law and Public Safety  
840 Bear Tavern Road, CN 107  
Trenton, NJ 08625  
Phone: 609-530-4798  
Fax: 609-530-5039  
E-mail: bear\_tavern.jjcwalk@smtp.lps.state.nj.us

**New Mexico**

Richard Lindahl  
Children, Youth, and Families Department  
P.O. Drawer 5160  
Santa Fe, NM 87502  
Phone: 505-827-7625  
Fax: 505-827-8408

**New York**

Gary Schreivogl, Director, OFPA  
Division of Criminal Justice Services  
4 Tower Place  
Albany, NY 12203-3702  
Phone: 518-457-8462  
Fax: 518-485-7358  
E-mail: schreivogl@dcjs.state.ny.us

**North Carolina**

Joel Rosch  
Department of Crime Control and Public Safety  
Governor's Crime Commission  
3824 Barrett Drive, Suite 100  
Raleigh, NC 27609-7220  
Phone: 919-733-4564  
Fax: 919-733-4625  
E-mail: joel.rosch@ncmail.net

**North Dakota**

Terry Traynor, Juvenile Justice Specialist  
Division of Juvenile Services  
Department of Corrections  
P.O. Box 1898  
Bismarck, ND 58502-1898  
Phone: 701-328-9800  
Fax: 701-258-2469

**Ohio**

Karla Eldridge  
Office of Criminal Justice Services  
400 East Town Street, Suite 120  
Columbus, OH 43215-4242  
Phone: 614-466-7782  
Fax: 614-466-0308  
E-mail: kmason@ocjs.state.oh.us

***Oklahoma***

Lisa Gregg, Office of Juvenile Affairs  
Department of Juvenile Justice  
3814 North Santa Fe  
Oklahoma City, OK 73025  
Phone: 405-530-2914  
Fax: 405-530-2913

***Oregon***

Ed Reilly  
Criminal Justice Services Division  
Oregon State Police  
400 Public Service Building  
Salem, OR 97310  
Phone: 503-378-3725, ext. 4147  
Fax: 503-378-8666  
E-mail: ed.reilly@state.or.us

***Pennsylvania***

Ruth Williams  
Commission on Crime and Delinquency  
Bureau of Program Development  
P.O. Box 1167  
Harrisburg, PA 17108-1167  
Phone: 717-787-8559, ext. 3030  
Fax: 717-783-7713

***Rhode Island***

Joseph Smith, Executive Director  
Governor's Justice Commission  
One Capitol Hill, Fourth Floor  
Providence, RI 02908  
Phone: 401-222-4495  
Fax: 401-222-1294

***South Carolina***

Laura Whitlock  
Department of Public Safety  
Office of Safety and Grants  
5400 Broad River Road  
Columbia, SC 29210-4088  
Phone: 803-896-8713  
Fax: 803-896-8714  
E-mail: laura\_whitlockd@scdps.state.sc.us

***South Dakota***

Vicki Feist, JAIBG Coordinator  
Department of Corrections  
115 East Dakota Avenue  
Pierre, SD 57501-3216  
Phone: 605-773-3478  
Fax: 605-773-3194  
E-mail: vickief@doc.state.sd.us

***Tennessee***

Michael Stein, Planning and Research  
Tennessee Department of Children's Services  
Cordell Hull Building, Seventh Floor  
436 Sixth Avenue North

Nashville, TN 37243-1290  
Phone: 615-532-1101  
Fax: 617-532-3580  
E-mail: mstein@mail.state.tn.u

***Texas***

Glenn Brooks, Juvenile Justice Coordinator  
Criminal Justice Division  
Office of the Governor  
P.O. Box 12428  
221 East I Street  
Austin, TX 78711  
Phone: 512-463-1944  
Fax: 512-475-2440  
E-mail: gbrooks@governor.state.tx.us

***Utah***

Susan Burke, Executive Director  
Commission on Criminal and Juvenile Justice  
101 State Capitol  
Salt Lake City, UT 84114  
Phone: 801-538-1057  
Fax: 801-538-1024  
E-mail: sburke@gov.state.ut.us

***Vermont***

Dr. Paula Duncan, Director  
Vermont Agency of Human Services  
103 South Main Street  
Waterbury, VT 05671-0203  
Phone: 802-241-2234  
Fax: 802-241-2979

***Virginia***

Marion Kelly, JAIBG Program Manager  
Criminal Justice Services  
805 East Broad Street, 10th Floor  
Richmond, VA 23219  
Phone: 804-225-4072  
Fax: 804-371-8981  
E-mail: mkelly@dcjs.state.va.us

***Washington***

Dana Phelps, Program Administrator  
Juvenile Rehabilitation Administration  
Department of Social and Health Services  
P.O. Box 45045  
Olympia, WA 98504-5045  
Phone: 360-902-8406  
Fax: 360-902-8180  
E-mail: phelpd@dshs.wa.gov

***West Virginia***

Angela Saunders, Juvenile Justice Coordinator  
Criminal Justice and Highway Safety Division  
Department of Military Affairs and Public Safety  
1204 Kanawha Boulevard East  
Charleston, WV 25301-2900  
Phone: 304-558-8814, ext. 220

Fax: 304-558-0391  
E-mail: wvdcjs@citynet.net

***Wisconsin***

Kerrie Kaner-Bischoff, Juvenile Justice Specialist  
Wisconsin Office of Justice Assistance  
131 West Wilson Street, Suite 202  
Madison, WI 53702-0001  
Phone: 608-266-7639  
Fax: 608-266-6676  
E-mail: kerrie.bischoff@oja.state.wi.us

***Wyoming***

Renee D. Gamino, Business Systems Analyst  
Wyoming Department of Family Services  
2300 Capitol Avenue  
Hathaway Building, Third Floor  
Cheyenne, WY 82000  
Phone: 307-777-6994  
Fax: 307-777-3659  
E-mail: rgamin@missc.state.wy.us

***Puerto Rico***

Cecilia Duquela, Legal Advisor  
Office of Youth Affairs  
San José #252, Old San Juan  
San Juan, PR 00901  
Phone: 787-722-3005  
Fax: 787-722-8615  
E-mail: cduquela@excite.com

***American Samoa***

Craig Keeneri  
Criminal Justice Planning Agency  
American Samoa Government  
P.O. Box 3760  
Pago Pago, AS 96799  
Phone: 011-684-633-5221  
Fax: 011-684-633-7552  
E-mail: jaylu@samoatelco.com

***Guam***

David G. Dell'Isola, Acting Director  
Department of Youth Affairs  
P.O. Box 23672  
Guam Main Facility, GU 96921  
Phone: 671-734-2597  
Fax: 671-734-7536  
E-mail: ddellisola@hotmail.com

***Palau***

N/A

***Virgin Islands***

Flemon Lewis, Director, Juvenile Justice Programs  
Law Enforcement Planning Commission  
8172 Subbase, Suite 3  
St. Thomas, VI 00802  
Phone: 340-774-6400  
Fax: 340-776-3317  
E-mail: flemonlewis@usa.net

***Northern Mariana Islands***

John Cruz  
Criminal Justice Planning Agency  
P.O. Box 1133 CK  
Saipan, MP 96950  
Phone: 670-664-4550  
Fax: 670-664-4560  
E-mail: john.cjpa@saipan.com

**C. U.S. Department of Health and Human Services,  
Center for Substance Abuse Treatment (CSAT)**

State Offices Administering the CSAT Block Grant Program

**Center for Substance Abuse Treatment,  
Substance Abuse and Mental Health Services Administration,  
U.S. Department of Health and Human Services**

The Center for Substance Abuse Treatment (CSAT) of the Substance Abuse and Mental Health Services Administration (SAMHSA), U.S. Department of Health and Human Services (HHS), was created in October 1992 with the Congressional mandate to expand the availability of effective treatment and recovery services for people with alcohol and drug problems. CSAT works cooperatively across the private and public treatment spectrum to identify, develop, and support policies, approaches, and programs that enhance and expand treatment services for individuals who abuse alcohol and other drugs and that address individuals' addiction-related problems. The CSAT National Advisory Council, in accordance with statutory mandates, provides advice, consultation, and recommendations to the CSAT director and to the secretary of HHS on programmatic and policy matters relating to activities of the Center.

Office of the Director  
H. Westley Clark, M.D., J.D., M.P.H., CAS, FASAM, Director  
301-443-5700  
Fax: 301-443-8751

The CSAT Division of State and Community Assistance (DSCA) developed a State Systems Development Program (SSDP) to enhance Federal and State accountability for the Substance Abuse Prevention and Treatment (SAPT) Block Grant. SSDP encompasses

- A. Development of a standard application to report statewide substance abuse prevention activities and treatment services delivery plans.
- B. The conduct of State prevention and treatment needs assessments.
- C. The conduct of onsite State Alcohol and Other Drug (AOD) Systems Technical Reviews.
- D. The provision of targeted technical assistance (TA) to States.
- E. The creation of a national database of current prevention activities and treatment services delivery information.

SSDP is a comprehensive, systematic approach to administering the SAPT Block Grant that enables the Federal Government

- 1. To make a determination regarding a State's compliance to the statutory (see 42 U.S.C. 300x-21 et seq.) and regulatory (see 45 C.F.R. part 96) requirements regarding the use of block grant funds.
- 2. To monitor State expenditures of block grant funds at the provider level.
- 3. To assist States in matching AOD prevention and treatment needs to existing service delivery capacity.

4. To strengthen State management of the AOD prevention and treatment infrastructure. SSDP provides a structure for the Federal Government to guide and monitor substance abuse prevention activities and treatment services supported by the SAPT Block Grant on a State, regional, and national scale while providing States with the flexibility to plan, carry out, and evaluate (See 42 U.S.C. 300x-21) State-specific solutions to local AOD prevention and treatment needs.

## **Standard Application**

The Center for Substance Abuse Treatment and its State partners developed and implemented the standard application for SAPT Block Grant funds. Prior to the introduction of the standard application, States annually submitted two separate documents: an annual report and a State plan. The format and content of the standard application incorporates some elements of the previous documents; however, the standard application provides a template for States to display both aggregate and entity expenditure data and also provides a description of a State's planning and needs assessment activities. CSAT's partners were encouraged, but not required, to submit electronically the uniform application using Block Grant Application System (BGAS) software, developed expressly for the States. Fifty-one States voluntarily use BGAS annually to submit their standard application. The aggregate data is stored in a database that can be used to provide analyses of State, regional, and national trends with regard to how Federal block grant funds are allocated and expended and the activities and services provided to reduce the impact of alcohol and other drug abuse and dependence across the Nation.

## **Targeted Capacity Expansion Program**

Additionally the Center for Substance Abuse Treatment administers the Targeted Capacity Expansion Program to expand substance abuse treatment capacity in targeted areas for a targeted response to treatment capacity problems and/or emerging trends. This program is designed to address gaps in treatment capacity by supporting rapid and strategic responses to demands for substance abuse (including alcohol and drug) treatment services in communities with serious, emerging drug problems, as well as in communities that have innovative solutions to unmet needs. This Program Announcement (PA) is a reissuance (with revisions) of a prior Guidance for Applicants (GFA) by the same title, Targeted Capacity Expansion, GFA No. TI 99-002.

For further information about programs funded by CSAT, visit their Web site at [www.samhsa.gov/csat](http://www.samhsa.gov/csat).

## **SINGLE STATE AGENCY DIRECTORY**

### ***Alabama***

Kent Hunt, Director  
Division of Substance Abuse Services  
Alabama Department of Mental Health and  
Mental Retardation  
RSA Union Building  
100 North Union Street  
Montgomery, AL 36130-1410  
Phone: 334-242-3953  
Fax: (334) 242-0759

### ***Alaska***

Ernie Turner, Acting Director  
Division of Alcoholism and Drug Abuse  
Alaska Department of Health and Social Services  
P.O. Box 110607  
Juneau, AK 99811-0607  
Phone: 907-465-2071  
Fax: 907-465-2185

### ***Arizona***

Christy Dye, Program Manager  
Bureau of Substance Abuse  
Division of Behavioral Health Services  
Arizona Department of Health Services  
2122 East Highland  
Phoenix, AZ 85016  
Phone: 602-381-8999  
Fax: 602-553-9143

### ***Arkansas***

Ray L. Stevens, Director  
Arkansas Bureau of Alcohol and  
Drug Abuse Prevention  
5800 West 10th Street, Suite 907  
Little Rock, AR 72204  
Phone: 501-280-4500  
Fax: 501-280-4519

### ***California***

Ann Horn, Acting Chief Deputy Director  
Department of Alcohol and Drug Programs  
1700 K Street, Fifth Floor  
Executive Office  
Sacramento, CA 95814-4037  
Phone: 916-445-1943  
Fax: 916-323-5873

### ***Colorado***

Janet Wood, Director  
Alcohol and Drug Abuse Division  
Colorado Department of Human Services  
4055 South Lowell Boulevard  
Denver, CO 80236-3120

Phone: 303-866-7480

Fax: 303-866-7481

### ***Connecticut***

Thomas A. Kirk, Jr., Ph.D., Deputy Commissioner  
Department of Mental Health and Addiction  
Services  
P.O. Box 341431  
Hartford, CT 06134  
Phone: 860-418-6958  
Fax: 860-418 6691

### ***Delaware***

Renata Henry, Director  
Delaware Health and Social Services  
Division of Alcoholism, Drug Abuse and Mental  
Health  
1901 North DuPont Highway  
Administration Building  
DHHS Campus, Room 192  
New Castle, DE 19701  
Phone: 302-577-4461  
Fax: 302-577-4486

### ***Florida***

Kenneth A. DeCerchio, MSW, CAP  
Assistant Secretary  
Substance Abuse Program Office  
Florida Department of Children and Families  
Services  
1317 Winewood Boulevard  
Building 3, Room 101S  
Tallahassee, FL 32399-0700  
Phone: 850-414-1503  
Fax: 850-487-2239

### ***Georgia***

Bruce Hoopes, Acting Chief  
Substance Abuse Program  
Division of Mental Health, Mental Retardation and  
Substance Abuse  
Georgia Department of Human Resources  
2 Peachtree Street NW, Fourth Floor  
Atlanta, GA 30303-3171  
Phone: 404-657-2135  
Fax: 404-657-2160

### ***Hawaii***

Elaine Wilson, Chief  
Alcohol and Drug Abuse Division  
Hawaii Department of Health  
Kakuhihewa Building  
601 Kamokila Boulevard  
Room 360

Kapolei, HI 96707  
Phone: 808-692-7507  
Fax: 808-692-7521

**Idaho**

Pharis Stanger, Acting Director  
Bureau of Mental Health and Substance Abuse  
Division of Family and Community Services  
Idaho Department of Health and Welfare  
P.O. Box 83720, Fifth Floor  
Boise, ID 83720-0036  
Phone: 208-334-4944  
Fax: 208-334-6699

**Illinois**

Melanie Whitter, Director  
Illinois Department of Alcoholism and Substance Abuse  
James R. Thompson Center  
100 West Randolph Street, Suite 5-600  
Chicago, IL 60601  
Phone: 312-814-2291/3840  
Fax: 312-814-2419

**Indiana**

Janet Corson, Director  
Division of Mental Health  
Indiana Family and Social Services Administration  
402 West Washington Street  
Indiana Government Building  
Room W353  
Indianapolis, IN 46204  
Phone: 317-232-7844  
Fax: 317-233-3472

**Iowa**

Janet Zwick, Director  
Division of Substance Abuse and Health Promotion  
Iowa Department of Public Health  
321 East 12th Street  
Lucas State Office Building, Third Floor  
Des Moines, IA 50319-0075  
Phone: 515-281-4417  
Fax: 515-281-4535

**Kansas**

Karen Suddath, Director  
Mental Health and Substance Abuse  
Treatment and Recovery  
Docking State Office Building  
Fifth Floor North  
915 Harrison Street  
Topeka, KS 66612  
Phone: 785-296-7272  
Fax: 785-296-5507

**Kentucky**

Michael Townsend, Director  
Division of Substance Abuse  
Kentucky Department of Mental Health  
and Mental Retardation Services  
100 Fair Oaks Lane  
Frankfort, KY 40621-0001  
Phone: 502-564-2880  
Fax: 502-564-7152

**Louisiana**

Alton E. Hadley, MSW, Assistant Secretary  
Office of Alcohol and Drug Abuse  
Louisiana Department of Health and Hospitals  
P.O. Box 2790 BIN 18  
Baton Rouge, LA 70821-3868  
Phone: 225-342-6717  
Fax: 225-342-3931

**Maine**

Kim Johnson, Director  
Maine Office of Substance Abuse  
Augusta Mental Health Complex  
Marquardt Building, Third Floor  
159 State House Station  
Augusta, ME 04333-0159  
Phone: 207-287-2595/6330  
Fax: 207-287-4334

**Maryland**

Thomas Davis, Director  
Alcohol and Drug Abuse Administration  
Maryland Department of Health  
and Mental Hygiene  
201 West Preston Street, Fourth Floor  
Baltimore, MD 21201  
Phone: 410-767-6925  
Fax: 410-333-7206

**Massachusetts**

Mayra Rodriguez-Howard, Director  
Bureau of Substance Abuse Services  
Massachusetts Department of Public Health  
250 Washington Street  
Boston, MA 02108  
Phone: 617-624-5151  
Fax: 617-624-5185

**Michigan**

Deborah Hollis, Director  
Michigan Department of Community Health  
Division of Substance Abuse Quality and Planning  
Lewis Cass Building Fifth Floor  
320 South Walnut Street  
Lansing, MI 48913  
Phone: 517-335-0267  
Fax: 517-335-3090



**Minnesota**

Sue Gronemeyer, Acting Director  
Chemical Dependency Program Division  
Minnesota Department of Human Services  
444 Lafayette Road North  
St. Paul, MN 55155-3823  
Phone: 651-296-4728  
Fax: 651-297-1862

**Mississippi**

Herbert Loving, Director  
Division of Alcohol and Drug Abuse  
Mississippi Department of Mental Health  
Robert E. Lee State Building  
239 North Lamar Street, 11th Floor  
Jackson, MS 39201  
Phone: 601-359-6220  
Fax: 601-359-6295

**Missouri**

Michael Couty, MA, Director  
Division of Alcohol and Drug Abuse  
Missouri Department of Mental Health  
P.O. Box 687  
Jefferson City, MO 65102-0687  
Phone: 573-751-4942  
Fax: 573-751-7814

**Montana**

Roland Mena, Chief  
Chemical Dependency Bureau  
Addictive and Mental Disorders Division  
P.O. Box 202951  
Helena, MT 59620-2951  
Phone: 406-444-3964  
Fax: 406-444-4435

**Nebraska**

Gordon Tush, Ph.D., Director  
Division of Mental Health, Substance Abuse and Addictions Services  
Nebraska Department of Health and Human Services Systems  
P.O. Box 94728  
Lincoln, NE 68509-4728  
Phone: 402-471-2851, ext. 5583  
Fax: 402-479-5162

**Nevada**

Maria Canfield, Chief  
Bureau of Alcohol and Drug Abuse, Health Division  
Department of Human Resource  
505 East King Street, Room 500  
Carson City, NV 89701-3703  
Phone: 775-684-4190  
Fax: 775-684-4185

**New Hampshire**

Tim Hartnett, Director  
Office of Alcohol and Drug Abuse Prevention  
New Hampshire Department of Health and Human Services  
State Office Park South  
105 Pleasant Street  
Concord, NH 03301  
Phone: 603-271-6105  
Fax: 603-271-6116

**New Jersey**

Terrence O'Connor, Assistant Commissioner  
New Jersey Department of Health and Senior Services  
Division of Addiction Services  
P.O. Box 362  
Trenton, NJ 08625-0362  
Phone: 609-292-5760  
Fax: 609-292-3816

**New Mexico**

Mary Schumacher, Director  
Behavioral Health Services Division  
New Mexico Department of Health  
Harold Runnels Building  
Room 3200 North  
1190 St. Francis Street  
Santa Fe, NM 87501-6110  
Phone: 505-827-2601  
Fax: 505-827-0097

**New York**

Jean Somers-Miller, Commissioner  
New York State Office of Alcoholism and Substance Abuse Services  
1450 Western Avenue  
Albany, NY 12203-3526  
Phone: 518-457-2061  
Fax: 518-457-5474

**North Carolina**

Flo Stein, M.P.H., Chief  
Substance Abuse Services Section  
Division of Mental Health, Development Disabilities and Substance Abuse Services  
North Carolina Department of Health and Human Services  
325 North Salisbury Street  
Raleigh, NC 27603  
Phone: 919-733-4670  
Fax: 919-733-9455

**North Dakota**

Don Wright, Unit Manager  
Substance Abuse Services  
Division of Mental Health and Substance Abuse Services  
Professional Building

600 South Second Street  
Suite 1E  
Bismarck, ND 58504-5729  
Phone: 701-328-8922/8920  
Fax: 701-328-8969

**Ohio**

Luceille Fleming, Director  
Ohio Department of Alcohol and Drug Addiction  
Services  
280 North High Street  
Two Nationwide Plaza  
12th Floor  
Columbus, OH 43215-2537  
Phone: 614-466-3445  
Fax: 614-752-8645

**Oklahoma**

Rand Baker, Acting Director  
Substance Abuse Services  
Oklahoma Department of Mental Health  
and Substance Abuse Services  
P.O. Box 53277  
Capitol Station  
Oklahoma City, OK 73152  
Phone: 405-522-3858  
Fax: 405-522-3650

**Oregon**

Barbara Cimaglio, Director  
Office of Alcohol and Drug Abuse Programs  
Oregon Department of Human Resources  
Human Resources Building, Third Floor  
500 Summer Street NE.  
Salem, OR 97310-1016  
Phone: 503-945-5763  
Fax: 503-378-8467

**Pennsylvania**

Gene Boyle, Director  
Office of Drug and Alcohol Programs  
Pennsylvania Department of Health  
2635 Paxton Street  
Harrisburg, PA 17111  
Phone: 717-783-8200  
Fax: 717-787-6285

**Rhode Island**

Barbara J. Inderlin, LICSW, Associate Director  
Division of Substance Abuse  
Department of Mental Health, Retardation  
and Hospitals  
14 Harrington Road  
Barry Hall  
Cranston, RI 0292  
Phone: 401-462-4680  
Fax: 401-462-3204

**South Carolina**

Rick Wade, Director  
South Carolina Department of Alcohol and Other  
Drug Abuse Services  
3700 Forest Drive, Suite 300  
Columbia, SC 29204-4082  
Phone: 803-734-9520  
Fax: 803-734-9663

**South Dakota**

Gilbert Sudbeck, Director  
Division of Alcohol and Drug Abuse  
South Dakota Department of Human Services  
East Highway 34  
Hillsview Plaza  
500 East Capitol  
Pierre, SD 57501-5070  
Phone: 605-773-3123/5990  
Fax: 605-773-5483

**Tennessee**

Stephanie W. Perry, M.D.  
Assistant Commissioner  
Bureau of Alcohol and Drug Abuse Services  
Tennessee Department of Health  
Cordell Hull Building, Third Floor  
426 Fifth Avenue North  
Nashville, TN 37247-4401  
Phone: 615-741-1921  
Fax: 615-532-2419

**Texas**

Jay Kimbrough, J.D., Executive Director  
Texas Commission on Alcohol  
and Drug Abuse  
P.O. Box 80529  
Austin, TX 78708-0529  
Phone: 512-349-6600  
Fax: 512-837-0998  
TCADA Overnight Mail Address:  
9001 North IH-35, Suite 105  
Austin, Texas 778753-5233

**Utah**

Patrick J. Fleming, Acting Director  
Division of Substance Abuse  
Utah Department of Human Services  
120 North 200 West  
Room 413  
Salt Lake City, UT 84103  
Phone: 801-538-3939  
Fax: 801-538-4696

**Vermont**

Tom Perras, Director  
Office of Alcohol and Drug Abuse Programs  
Vermont Agency of Human Services  
108 Cherry Street  
Burlington, VT 05402

Phone: 802-651-1550

Fax: 802-651-1573

***Virginia***

Lewis Gallant, Ph.D., Director  
Substance Abuse Speciality Services  
Virginia Department of Mental Health, Mental  
Retardation and Substance Abuse Services  
1220 Bank Street  
Eighth Floor  
Richmond, VA 23218  
Phone: 804-786-3906  
Fax: 804-371-0091

***Washington***

Kenneth D. Stark, Director  
Division of Alcohol and Substance Abuse  
Washington Department of Social and Health  
Services  
P.O. Box 45330  
Olympia, WA 98504-5330  
Phone: 360-438-8200  
Fax: 360-438-8078

***West Virginia***

Steve Mason, Director  
Division of Alcohol and Drug Abuse  
Office of Behavioral Health Services  
West Virginia Department of Health and Human  
Services  
1900 Kanawha Boulevard  
Capitol Complex  
Building 6, Room 738  
Charleston, WV 25305  
Phone: 304-558-2276  
Fax: 304-558-1008

***Wisconsin***

Philip S. McCullough, Director  
Bureau of Substance Abuse Services  
Division of Supportive Living  
Department of Health and Family Services  
P.O. Box 7851  
Madison, WI 53707-7851  
Phone: 608-266-3719  
Fax: 608-266-1533

***Wyoming***

Diane Galloway, Administrator  
Division of Behavioral Health  
Department of Health  
447 Hathaway Building  
Cheyenne, WY 82002  
Phone: 307-777-7997  
Fax: 307-777-5580

***District of Columbia***

Larry Siegel, M.D., Administrator  
Department of Operations  
Addiction Prevention and Recovery Administration  
825 North Capitol Street NE.  
Suite 3132  
Washington, DC 20002  
Phone: 202-442-5898  
Fax: 202-442-9429

***Puerto Rico***

Jose Acevedo, Ph.D., Administrator  
Puerto Rico Mental Health and Anti-Addiction  
Services Administration  
P.O. Box 21414  
San Juan, PR 00928-1414  
Phone: 787-764-3795  
Fax: 787-765-5895

***Virgin Islands***

Derek V. Spencer, M.D., M.P.H., Director  
Division of Mental Health, Alcoholism and Drug  
Dependency Services  
U.S. Virgin Islands Department of Health  
Barbel Plaza South, Second Floor  
St. Thomas, VI 00802  
Phone: 340-774-4888 or 774-7700  
Fax: 340-774-7900

***Red Lake***

Bobby Whitefeather, Sr., Chairman  
Tribal Council  
Red Lake Band of the Chippewa Indian Tribe  
P.O. Box 574  
Red Lake, MN 56671  
Phone: 218-679-3341  
Fax: 218-679-3378

***American Samoa***

Marie Ma'o, Director  
Department of Human and Social Services  
Government of American Samoa  
Pago Pago, AS 96799  
Phone: 684-633-2696  
Fax: 684-633-7449

***Micronesia***

Eliuel K. Pretrick, M.O., M.P.H., Secretary  
Department of Health, Education and Social Affairs  
Federated States of Micronesia  
P.O. Box PS 70  
Palikir, Pohnpei, Micronesia 96941  
Phone: 691-320-2619  
Fax: 691-320-5263

***Guam***

John Leon Guerrero, Director  
Department of Mental Health and Substance Abuse  
Government of Guam  
790 Governor Carlos G. Camacho Road  
Tamuning, GU 96911  
Phone: 671-647-5445  
Fax: 671-649-6948

***Northern Mariana Islands***

Joe Villagomez, M.S.W., Secretary of Health  
Department of Public Health  
Commonwealth of the Northern Mariana Islands  
P.O. Box 409 CK  
Saipan, MP 96950  
Phone: 670-234-8950, ext. 2001  
Fax: 670-234-8930

***Palau***

The Honorable Masao Ueda  
Minister of Health  
Ministry of Human Services  
Palau National Hospital  
Republic of Palau  
P.O. Box 6027  
Koro, Republic of Palau 96940-0504  
Phone: 680-488-2813  
Fax: 680-488-1211

***Marshall Islands***

Donald Capelle, Secretary  
Ministry of Health Services  
P.O. Box 16  
Majuro, Marshall Islands 96960  
Phone: 692-625-3355  
Fax: 692-625-3432

## **Recommended Reading**

The following documents are the latest U.S. Department of Justice publications on drug courts and are available from the National Criminal Justice Reference Service at 1-800-851-3420.

### **American University Drug Court Clearinghouse and Technical Assistance Project Justice Programs Office**

*Summary Assessment of the Drug Court Experience*, May 1996.

*1997 Drug Court Survey Report: Executive Summary*, October 1997.

### **Drug Courts Program Office, Office of Justice Programs, U.S. Department of Justice**

*About the Drug Courts Program Office Fact Sheet*, June 2000, FS 000265.

*Defining Drug Courts: The Key Components*, January 1997, DD 165478.

*Drug Court Monitoring, Evaluation, and Management Information Systems*, June 1998, NCJ 171138.

*Drug Testing in a Drug Court Environment: Common Issues to Address*, May 2000, NCJ 181103.

*Guideline for Drug Courts on Screening and Assessment*, June 1998, NCJ 171143.

*The Interrelationship Between the Use of Alcohol and Other Drugs: Summary Overview for Drug Court Practitioners*, August 1999, NCJ 178940.

*Juvenile and Family Drug Courts: An Overview*, June 1998, NCJ 171139 (Revised 1999).

*Juvenile and Family Drug Courts: Profile of Program Characteristics and Implementation Issues*, June 1998, NCJ 171142.

*Looking at a Decade of Drug Courts*, June 1998, NCJ 171140 (Revised 1999).

*Practical Guide for Applying Federal Confidentiality Laws to Drug Court Operations*, June 1999, NCJ 176977.

*Treatment Services in Adult Drug Courts: Executive Summary*, May 2001, NCJ 188086

*Treatment Services in Adult Drug Courts*, May 2001, NCJ 188085

### **National Association of Drug Court Professionals**

*Drug Courts: A Revolution in Criminal Justice*, 1999.

### **National Drug Court Institute**

*Drug Court Publications: Resource Guide*, May 1999.

*DUI/Drug Courts: Defining a National Strategy*, March 1999.

*Reentry Drug Courts*, December 1999.

**Bureau of Justice Assistance, Office of Justice Programs,  
U.S. Department of Justice**

*Special Drug Courts*, Program Brief, NCJ 144531.

**Office of Juvenile Justice and Delinquency Prevention,  
Office of Justice Programs, U.S. Department of Justice**

*American Probation and Parole Association's Drug Testing Guidelines and Practices for Juvenile Probation and Parole Agencies*, 1992, NCJ 136450.

*Capacity Building for Juvenile Substance Abuse Treatment*, 1997, NCJ 167251.

*Conflict Resolution Education: A Guide to Implementing Programs in Schools, Youth-Serving Organizations, and Community and Juvenile Justice Settings*, 1996, NCJ 160935.

*Drug Identification and Testing in the Juvenile Justice System*, 1998, NCJ 167889.

*Preventing Drug Abuse Among Youth: An Overview of Community, Family, and School-Based Programs*, 1997, NCJ 165583.

*Focus on Accountability: Best Practices for Juvenile Court and Probation*, 1999, NCJ 177611.

**National Institute of Justice, Office of Justice Programs,  
U.S. Department of Justice**

John S. Goldkamp and Doris Weiland, *Assessing the Impact of Dade County's Felony Drug Court*, NCJ 145302.

Adele Harrell, Shannon Cavanagh, and John Roman, *Findings from the Evaluation of the D.C. Superior Court Drug Intervention Program*, May 1999, NCJ 181894.

*The Drug Court Movement*, Update, September 1995.

John S. Goldkamp, *Issues and Practices, Justice and Treatment Innovation: The Drug Court Movement, A Working Paper of the First National Drug Court Conference*, December 1993, NCJ 149260.

Peter Finn and Andrea K. Newlyn, *Miami's Drug Court, A Different Approach*, NCJ 142412.

## Addresses on the World Wide Web

- Drug Court Clearinghouse and Technical Assistance Program/Justice Programs Office, American University: *www.american.edu/justice*
- Drug Free Workplace Helpline: *helpline@samhsa.gov* (e-mail)
- Drug Information and Strategy Clearinghouse: *gopher://ric.aspensys.com:76*
- National Clearinghouse for Alcohol and Drug Abuse Information: *www.health.org*
- National Criminal Justice Reference Service: *www.ncjrs.org*
- Office of Justice Programs: *www.ojp.usdoj.gov*
- Office of National Drug Control Policy: *www.whitehousedrugpolicy.gov*
- U.S. Department of Education: *www.ed.gov*
- U.S. Department of Health and Human Services: *www.os.dhhs.gov*
- U.S. Department of Housing and Urban Development: *www.hud.gov*
- U.S. Department of Labor: *www.dol.gov*